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**SURVEY OF IDRC COMPLETED PROJECTS  
IN SOUTHERN AFRICA**

**POLICY CASE STUDY**

**FINAL REPORT**

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## LIST OF ACRONYMS

AIDS	Acquired Immuno-Deficiency Syndrome
ANC	African National Congress, South Africa
CASE	Community Advancement through Social Enquiry
CEDAW	United Nations Convention on the Elimination of All Forms of Discrimination Against Women
COSATU	Congress of South African Trade Unions
DOL	Department of Labour, South Africa
DPRU	Development Policy Research Unit, University of Cape Town
DTI	Department of Trade and Industry, South Africa
ESAP	Economic and Structural Adjustment Programme
ETRG	Economic Trends Research Group
GATT	General Agreement on Trade and Tariffs
ICT	Information and communication technology
IDC	Industrial Development Corporation, South Africa
IDRC	International Development Research Centre
IDS	Institute of Development Studies, University of Sussex
IEC	Information, Education and Communication
ISP	Industrial Strategy Project
LAPC	Land and Agricultural Policy Centre, South Africa
LSE	London School of Economics
MEPC	Mineral and Energy Policy Centre, South Africa
NEDLAC	National Economic Development and Labour Council
NGO	Non-Governmental Organisation
NLC	National Land Committee, South Africa
NORAD	Norwegian Agency for Development
NRM-GIS	Natural Resource Management/Geographical Information System
NUCI	National Union of the Clothing Industry (Zimbabwe)
NUM	National Union of Mineworkers
NUMSA	National Union of Metalworkers of South Africa
OATU	Organisation of African Trade Unions
ODA	British Overseas Development Administration
PPAWU	Pulp and Paper Allied Workers Union
RDP	Reconstruction and Development Programme
ROSA	IDRC Regional Office for Southern Africa
SACOB	South African Chamber of Business
SACTWU	South African Clothing and Textile Workers Union
SDA	Social Dimensions of Adjustment
SPP	Surplus People Project, South Africa
TURP	Trade Union Research Project, University of Natal
UCT	University of Cape Town
WNC	Women's National Coalition, South Africa
ZCTU	Zimbabwe Congress of Trade Unions

## HIGHLIGHTS

The case study on the impact on policy formulation assessed four projects (Table 1). The projects were evaluated in terms of their outcomes in relation to the institutional and external context, objectives, strategy, inputs, and activities; and the key factors contributing to or inhibiting the achievement of outputs, reach and impact were identified. The principal focus was on the impact area of contributing to policy formulation, but the impact areas of institutional and individual capacity building, increasing the pool of knowledge, public good and increasing incomes were also considered.

Of the four projects, one is considered to have had a limited impact overall, while the remaining three had a high impact. Detail on the impact of each project is contained in Tables 2-5. Three of the projects were in South Africa during a time when significant changes in all policy areas were taking place; and one was in Zimbabwe.

The Gender, Health and Structural Adjustment Project in Zimbabwe (91-0043) consisted of a longitudinal study of the social impact of structural adjustment in one of the high-density areas of Harare. It was implemented by the National Union of the Clothing Industry (NUCI) and was intended to strengthen the research capacity of the trade union movement and stimulate changes in decision-making in national institutions.

It had a high impact in terms of increasing the knowledge pool related to the gender effects of structural adjustment programs and in terms of the capacity building of the individual researchers. It had a low impact, however, in terms of capacity building within NUCI and other trade unions, and in terms of contributing to policy formulation within government, the City of Harare, and donor agencies primarily involved with the social impact of the structural adjustment programme. Impact was affected by the weaknesses of the NUCI, the lack of any follow-up to the research, and the lack of linkages to key policymakers.

The Namaqualand: Land Claims and the Future of the Reserve Project in South Africa (92-8452) consisted of research into land claims, land use and land management by Surplus People Project (SPP). It was intended to empower local communities and contribute to appropriate land policy and governance systems for sustainable land use.

The project had a high impact in terms of capacity building among the communities which participated in the research, the researchers, and SPP; and in terms of its contribution to understanding land claims and land use and management in Namaqualand. Its impact on policy was low, but the knowledge which was gained and the capacity which was developed enabled SPP and the communities to carry out follow-up work which had an impact on the public good of the majority of inhabitants of that region. The key to success was the strength and ongoing commitment of SPP, and the

participatory research process which was followed. The inhibiting factors to a greater policy impact were the uniqueness of the region being researched within the national context, and the over-ambitiousness of the research in terms of what could actually be delivered.

The Constitutional Initiatives for Gender Equity Project in South Africa (92-0902) was implemented by the Women's National Coalition (WNC). Participatory research was conducted on the needs of women; these were incorporated into a Women's Charter; and formed the basis for lobbying for changes in the Constitution. The project had a high impact in terms of increasing awareness of gender issues and influencing the Constitution of South Africa; and in terms of increasing the capacity of the individuals involved. It had moderate to low impact in terms of building up the capacity of the WNC and its member organisations. The ongoing policy impact is most likely to be realised through the participation of the individuals involved in ongoing policy formulation and programme implementation. The key factors to success were the individuals involved; the context within which they were working which kept them united despite their differences; and the participatory process which was used. The factors which inhibited success were the inherent differences among the organisations and individuals and the shortage of time within which to strengthen members of the Coalition.

The Industrial Strategy Project, Phase I in South Africa (91-0036) consisted of research into the performance of the manufacturing sector overall and of specific sub-sectors - with a view to developing an industrial strategy to overcome weaknesses and constraints. It was implemented by a small research unit within the University of Cape Town, working together with an alliance of the trade unions and the African National Congress.

The project had a high impact in terms of increasing awareness of the performance of the manufacturing sector in South Africa and the elements and approaches to an industrial strategy; and in terms of strengthening the capacity of individuals - which subsequently strengthened the institutions, primarily government, into which they moved with the transition in South Africa. The recipient institution was also strengthened. The policy impact still has to be assessed, but policy approaches and attitudes are fairly coherent among the key policymakers, partly as a result of the project. The key factors to success were the leadership of the project; the emphasis placed on the research process; involvement of key stakeholders and bringing in outside expertise; and the context within which the project was implemented. The factors inhibiting success were related to the design and delivery of the training programme for black researchers.

In summary, the projects had the highest impact on increasing knowledge and individual capacity building, and the least impact on policy formulation, improving the quality of life and increasing incomes. The research process, the institution doing the research and the context within which the research is undertaken are the most critical to success. When considering project proposals, therefore, sufficient time and resources need to be devoted to understanding the general context, the key players, the key influences on those players, and institutional capacity.

**Table 1: List of Projects in Policy Case Study**

Project No.	Title	Country	Recipient	Sector	Actual Duration	Approved Budget
91-0043	Gender, Health and Structural Adjustment	Zimbabwe	National Union of the Clothing Industry, Zimbabwe	Health	91/93	\$144,626
92-8452	Namaqualand: Land Claims and the Future of the Reserve	South Africa	Surplus People Project, South Africa	Natural Resource Management	92/95	\$147,500
92-0902	Constitutional Initiatives for Gender Equity	South Africa	Women's National Coalition, South Africa	Gender	93/94	\$500,000
91-0036	Industrial Strategy Project, Phase I	South Africa	Development Policy Research Unit, University of Cape Town	Economics	92/93	\$350,000

**Table 2: Summary of Reach and Impact  
Gender, Health and Structural Adjustment (Zimbabwe)**

Potential Beneficiary/User	Impact Area	Nature of Impact	Actual Extent Benefited/ Affected	Potential for Future Benefit
Principal researchers (2) Union organisers (2) Research assistants (4)	Knowledge Capacity building	Increased knowledge of research techniques, impact of ESAP Ability to carry out and analyse results of research	High- research output PhD level quality High - for principal researchers & union organisers.	None - research results now dated. None - no follow up to project.
NUCI ZCTU	Knowledge Capacity building Policy formulation	Increased knowledge of impact of structural adjustment. Increased organisational ability to conduct research and utilise results in programmes Development of policies related to social dimensions of structural adjustment or related issues.	Low - study not utilised on ongoing basis Low-NUCI Research Department folded, ZCTU staffed by one Economist Low - no policy development in NUCI, ZCTU eventually developed policy using its own commissioned research	None - report not available within unions None None- results outdated, report not readily available.
Relevant Government institutions Donors-World Bank, UNICEF	Knowledge Policy formulation	Increased knowledge of the impact of structural adjustment policies. Development of policies related to SDA or related issues.	Low - study not utilised, not currently available. Low - policy development influenced by other macro-economic research.	None - research results now outdated. None - no follow-up to project
Participants in research (100-120 households in Kambuzuma). Urban high-density population	Knowledge Public good	Improved understanding of impact of ESAP. Improved living conditions through changes in policies.	Medium - for participants, received feedback in popularised form. None for other residents - no dissemination None - no policy formulation resulted from project	None - outdated. None - no follow up.



**Table 3: Summary of Reach and Impact  
Namaqualand: Land Claims and the Future of the Reserve, South Africa**

Potential Beneficiary/User	Impact Area	Nature of Impact	Actual Extent Benefited/ Affected	Potential for Future Benefit
Namaqualand coloured reserve inhabitants (approx 50,000)	Knowledge Capacity building	History of land claims and route to pursue them. Policy changes. Negotiation, policy dialogue, conflict resolution, empowerment.	Medium - not all areas or issues covered.  High - local land committees established during process. Women's Forum established and increased participation of women generally.	Low - reports overtaken by events. None - taking place through other projects.
	Public good & income generation	Redistribution of land, land use plans.	High - indirectly, subsequent land claims potentially benefited 29,600 people. New forms of land management and administration established.	High - indirectly through continuing land distribution & land use planning
National government Provincial government	Knowledge	Land claims and land use in Namaqualand.	High - for those involved in the area.	Medium - reports still provide useful background.
	Policy formulation	Land claims, land tenure, land use and local government policies.	Low - context particular to Namaqualand. Policies on many of these issues still to be formulated.	None - overtaken by events
NGO community Academic community	Knowledge	Social, economic, external and institutional conditions in Namaqualand. Land claims, land tenure, land use and local government issues.	High - for those working in Namaqualand. Low - for those working in a national context.	Medium - reports still provide a useful background.
SPP Researchers (3) Local researchers	Knowledge Capacity building	Land claims, land tenure, land use and local government issues. Research skills, community facilitation skills.	High - for SPP and researchers. Continue to work on issues. Low - for local researchers, few involved.	Low - reports overtaken by events. High - indirectly through individuals continuing application of skills.

**Table 4: Summary of Reach and Impact  
Constitutional Initiatives for Gender Equity, South Africa**

Potential Beneficiary/User	Impact Area	Nature of Impact	Actual Extent Benefited/ Affected	Potential for Future Benefit
Women in South Africa Men and children	Knowledge	Increased awareness of gender issues.	High - estimated 2 million people affected by research and Charter Campaign of WNC.	High - through promotion and enforcement of Constitution and Charter.
	Public good	Empowerment of women.	Further impact on total female population in terms of enshrining gender equality in the Constitution.	
Participants in research process	Knowledge	Increased awareness of their own needs, common problems and joint solutions.	High - estimated 3-5,000 reach directly through various research methodologies	None - no follow up through WNC.
Women's National Coalition	Capacity building	Increased capacity to conduct research and lobbying.	Low - lack of continuity after completion of the project and departure of key individuals within the Coalition.	Low - WNC capacity will be developed as a result of other initiatives. A few people who were involved in project remain involved to assist WNC.
Individual office bearers, staff members and volunteers	Knowledge Capacity building	Increased awareness of gender issues. Increased research and legal skills.	High - about 200 individuals participated in the research and Charter campaign process.	High - indirectly through application to other issues/within other organisations
Member organisations and regional coalitions	Knowledge Capacity building	Increased awareness of gender issues. IEC material for programme activities.	Medium - for national organisations (92) Low - for regional coalitions (13) of which only 3 remain.	Medium - Charter could be used as development tool within these organisations.
Cabinet, Parliament, the bureaucracy	Knowledge Policy formulation	Increased awareness of gender issues. Gender-sensitive legislation and policies.	Medium - primarily through the continued involvement of WNC members in key positions. Major policies still to be formulated.	Medium - Charter and research provide a foundation, further policies/programmes needed.

**Table 5: Summary of Reach and Impact  
Industrial Strategy Project, Phase I (South Africa)**

Potential Beneficiary/User	Impact Area	Nature of Impact	Actual Extent Benefited/ Affected	Potential for Future Benefit
Alliance members - COSATU, its affiliates, ANC	Knowledge Capacity building Policy formulation	Increased knowledge of industrial sectors and industrial strategy. Increased capacity to carry out research and formulate industrial strategy. Industrial strategies	High  Low - in terms of sustained capacity because of movement out of key people. Medium - varies according to industrial sector	Medium - studies provide useful background Low - transfer of skills by few people remaining Low - little policy formulation being done.
Government	Knowledge Capacity building Policy formulation	Increased knowledge of industrial sectors and industrial strategy. Increased capacity to carry out research and formulate industrial strategy. Industrial strategies	High  High  Medium - process is still underway	Medium - studies provide useful background High - transfer of skills to others within Government High - as policies formulated.
Co-directors Researchers Trainees	Knowledge Capacity building	Increased knowledge of industrial sectors and industrial strategy. Increased capacity to carry out research and formulate industrial strategies.	High  High for co-directors and researchers and 2-3 trainees Low for remaining trainees	Low - further work under Phase II High - as applied to other issues and Phase II
DPRU	Capacity building	Increased capacity to carry out research, formulate policy, and manage donor funds.	High - subsequently went on to further large research and policy projects.	High - as applied to other issues and Phase II
Others - business, NEDLAC, consulting firms, academics, donors, etc.	Knowledge	Increased knowledge of industrial sectors and industrial strategy.	High - comprehensive study, unique at the time in South Africa.	Medium - provide a background, need updating, other studies also available.

## **1.0 BACKGROUND**

The case study on the impact of IDRC-funded projects on policy was carried out as part of a broader survey of the impact of IDRC-funded projects in Southern Africa. The purpose of the case study was to determine the impact of the projects on policy development, formulation or implementation in the relevant sector or issue area. Of particular interest in the case study overall was determining the extent to which the research adequately identified the potential policy issues; what influence it had on the development or reform of policy at a government or institutional level; what influence it had on the development or reform of programmes; and whether the participation of stakeholders was adequately encouraged.

The factors which contributed to or inhibited success were identified in order to improve the design and delivery of future policy-related research projects. These factors are categorised according to the different aspects of the project: the context within which the project was implemented including the institutional and the sectoral or country context; the definition of objectives; the strategies used to achieve the objectives; the inputs provided; the activities undertaken; the outputs, reach and impact; and the interrelationship among all of these aspects.

Four projects were included in the case study - three in South Africa and one in Zimbabwe. Two of the projects were implemented through NGO's, one through a trade union and one through a university. All of the projects were fairly recent - having been initiated within the last five years. They ranged in size from about \$150,000 to \$500,000.

## **2.0 METHODOLOGY**

A workplan for the case study was developed based on an initial review of the documentation and files, a discussion with the relevant IDRC officer or officers, and contact with the recipient organisations. The Evaluation Framework formed the basis of an interview protocol. Particular issues to be explored for individual projects were also pursued. A list of the individuals interviewed and the documents reviewed is appended to each project report.

In order to carry out the study in the most efficient and effective manner, it would have been best to have had all of the relevant project information before conducting the interviews. This, however, was not the case since much of the documentation had to be secured from the project recipients and they were not always available at the beginning of the evaluation. The evaluator did, however, have the advantage of having access to the project files at IDRC in the case of the three projects in South Africa. There were relevant people who were not interviewed due to insufficient time or unavailability. The evaluation of the project in Zimbabwe was particularly affected by insufficient information and a lack of response from key participants.

The findings and conclusions related to each project are presented in Section 3.0 to Section 6.0. The report concludes with a discussion of summary conclusions which can be drawn from the four projects.

### **3.0 GENDER, HEALTH AND STRUCTURAL ADJUSTMENT (ZIMBABWE) - PROJECT NO. 91-0043**

#### **3.1 PROJECT DESCRIPTION**

This project provided funding for research at the micro-level on the impacts of structural adjustment. The research was carried out over a two-year period from 1991 to 1993 in one of the high-density suburbs of Harare. It was to have influenced policy on structural adjustment - particularly the social dimensions - and policy on health care delivery - particularly at the municipal level. The project was implemented by the National Union of the Clothing Industry (NUCI), administered by Zimbabwe Trust because the NUCI's administrative structures were weak, and assisted by an outside technical adviser based at the London School of Economics, Nazneen Kanji. The research was completed, a report produced, and a workshop held. No follow-up was undertaken.

The key issues in terms of the evaluation were:

- What impact did the research have on policymakers within Government, the Department of Health of the City of Harare, other donors involved in supporting structural adjustment, and the trade unions?
- What impact did the research have on access and delivery of health care programmes in the City of Harare?
- What impact did the research have on strengthening the capacity of trade unions to analyse the impact of structural adjustment and to participate in a dialogue to mitigate the impacts, particularly on women?

Information for the evaluation came primarily from the outside technical adviser, several key stakeholders, and the research report. A project file was not available and the principal researcher within NUCI and the IDRC Programme Officer were asked for an input but did not provide any information.

#### **Context**

##### *External Context*

The structural adjustment programme in Zimbabwe was introduced in 1991 and involved a combination of cuts in consumer subsidies, cutbacks in government spending, extensive liberalisation of price and import controls, and promotion of exports. The research project was therefore undertaken at the very initial stages of the programme. At the time, the Social Dimensions of Adjustment (SDA) Programme - a combination of social welfare programmes and employment and training programmes - had not yet been developed or implemented. During the course of the research (1991-92), a severe drought was also experienced.

The key government ministry in terms of policy on ESAP was the Ministry of Finance, and in terms of the social dimensions, the Ministry of Social Welfare - neither of which were involved in the project design and implementation. The key donors were the World Bank in terms of programming, and UNICEF in terms

of mitigating the social impact. They were also not involved in the project design. The City of Harare's Department of Health was considered to have an interest in the research because it took place in an urban area of Harare. The City was not however involved after the initial stages of project design.

### *Institutional Context*

The project was implemented by the National Union of the Clothing Industry (NUCI), an affiliate of the Zimbabwe Congress of Trade Unions (ZCTU). NUCI was weak administratively and funds were therefore channelled through the Zimbabwe Trust - an experienced NGO and recipient of donor funds. The NUCI had just set up a Research Department, headed part-time by the principal researcher. The ZCTU would have been a more appropriate recipient institution, although its research capacity was also limited and it only developed a constructive response to the structural adjustment programme in 1995/96.

### **Objectives**

The objectives of the project were:

1. to produce gender-disaggregated data on the impact of structural adjustment programmes on health and access to health services;
2. to strengthen the research capacity of the trade union movement and make them more sensitive to the influence of economic policy and health; and
3. to stimulate changes in decision-making in national institutions.

### *Conclusion*

In terms of the achievement of the objectives, the section on project outcomes will show that the first was achieved, although the research went far beyond the issue of health and access to health services, and could more accurately be described as being related to the gender-disaggregated effects of structural adjustment. The second objective was not achieved, due in part to the institutional home of the project, and the lack of involvement of key individuals within NUCI. The third objective was also not achieved, partly because of the focus of national institutions on macro-level rather than micro-level data and the lack of follow-up to the research.

### **Strategy**

In order to achieve the objectives, a longitudinal study was carried out at a micro-level in one of the high-density urban areas of Harare, Zimbabwe over a two-year period. The purpose of the research was to assess the impact of the recently-introduced structural adjustment programme on household income, expenditure, access to services, and involvement in social organisations. The data collected was disaggregated by gender. At the conclusion of the research, a workshop was held with policymakers and participating organisations to discuss and disseminate the results and influence policy.

The project was the first major outcome of the Economic Policy, Equity and Health Network (Africa) - an initiative of the Health Sciences Division of IDRC in collaboration with the Social Science Division, and intended to develop the research capability of community and grassroots organisations to address the effect of economic policies upon sustainable human development. A workshop was held in Harare in February 1991 in order to establish the Network, and the first draft of the project proposal was developed at that workshop. Although the project did not involve the direct measurement of specific health parameters, its principal concern was considered to be the major determinants of health. The IDRC Regional Representative of the Health Sciences Division participated actively in the development of the project and in its implementation while he was with IDRC.

Initial expressions of interest came from Rene Loewenson of the ZCTU and the principal researcher in NUCI. It was the view of the ZCTU at the time that not all research should be carried out by the ZCTU, but rather the research capacity of its affiliates should also be developed. The initial proposal was drafted by Nazneen Kanji, a social scientist and lecturer at the London School of Economics who intended to also use the research for her PhD work. It was discussed and amended with the ZCTU and the NUCI.

The project was also to have involved Dr Maureen Wellington, Research Coordinator in the Harare City Council's Health Department since the City was thought to have a keen interest in the outcome of the project. Apart from reviewing the research design, however, according to Dr Wellington she had no subsequent involvement in the project.

### *Conclusion*

In terms of the data collection, the strategy which was used was appropriate. In terms of having an impact on the trade union movement and national institutions, it is questionable whether the right strategy was used - both in terms of the recipient organisation selected, and the relatively small scale of the project in terms of funding and time.

There does not appear to have been agreement among the key stakeholders on the strategy to be pursued - the NUCI Educator at the time, and current General Secretary, was not involved in the planning, implementation or dissemination of research results; the City of Harare Department of Health had a limited involvement; and the national institutions were not involved.

### **Inputs**

IDRC approved \$144,626 for the project and was the sole donor, with the following budget breakdown:



Capital Equipment	\$ 30,248
Conference	\$ 8,403
Consultants	\$ 28,240
Publications	\$ 2,101
Research Expenses	\$ 42,860
Salaries	\$ 30,252
Support Services	<u>\$ 2,522</u>
Total	\$144,626

Source: Project Summary

This budget included payment for Ms Kanji's services and travel expenses. The recipient contribution was in kind and not specified.

ICT inputs were limited to a computer and printer, and telecommunication expenses. The research data from questionnaires was analysed using the EPI-INFO statistical software package.

### Activities

A preparatory phase included discussion with shop floor workers about the effects of the Economic Structural Adjustment Programme (ESAP). This discussion expanded the understanding of the workers about ESAP and fed into the pilot study. Data was collected from a randomly selected sample of 120 households in the high-density urban area of Kambuzuma in 1991. Questionnaires were used to gather information on household structure and composition, employment and paid work, household expenditure, domestic work and time use, use of health services, and involvement in social organisations. The respondent in the first instance was the woman in the household.

In January 1992, six months after the initial survey, semi-structured interviews were held with 11 households, and two focus groups were held on the theme of coping with the increased cost of living. A follow-up questionnaire was completed in 1992 for 100 of the original 120 households, plus 29 semi-structured interviews were held. Information was also collected from government documents on the structural adjustment programme and from the media on the implementation of specific measures.

Two union organisers from NUCI were involved with all aspects of the research, and four research assistants were employed for data collection. These six people were given training in the objectives and methods of the research and interviewing techniques. The two principal researchers were involved in all of the semi-structured interviews and focus group discussions and a substantial proportion of the questionnaire survey interviews.

### 3.2 PROJECT OUTCOMES

#### Outputs

The research showed that almost all households were negatively affected by ESAP, with widening income differentials and a much greater proportion of households falling below the Poverty Datum Line. Household savings had been depleted and a greater number of households were in debt. Women's income had declined to a greater extent than men's and their responsibility to meet daily consumption needs of the households had become more difficult to fulfil, resulting in increased gender-based conflict. The poorest households were the worst affected, with women taking greater cuts than men.

Coping responses were found to be individual and family-based, sometimes across urban and rural areas, rather than community-based. Responses were defensive, aimed at coping with rather than changing the situation, and largely ineffective in compensating for declining real wages, rising prices and diminishing income generating opportunities.

The relationship between changes at household level and specific policy measures were assessed and the evidence indicated that both income and gender-based inequalities had been exacerbated by ESAP. The study emphasised the need for more equitable and gender-sensitive strategies for development. It was considered innovative both because it involved a longitudinal study at the micro-level, and because it disaggregated the data along gender lines - approaches which were somewhat novel in Sub-Saharan Africa.

There was some question raised by the researchers themselves as to whether the situation would have been worse if ESAP had not been introduced, or whether other factors such as the world recession, national political influences, the severe drought, and the AIDS pandemic were more responsible for deteriorating conditions at the household level. However, because the research was conducted when ESAP was first introduced, strong linkages between changes at household level and specific policy measures (particularly the lifting of food subsidies and the introduction of cost recovery in social services) were shown.

A seminar was held in February 1993 to present the findings; the research was used for a PhD thesis by Nazneen Kanji; a popularised version of the results was produced for distribution to the participating households and through a popular education NGO; and a final report was submitted to IDRC in December 1993. According to the final report, articles in national and regional newspapers, newsletters, and current affairs magazines published in Zimbabwe were also produced, as well as articles in international academic journals and books.

In addition, discussions of the research outcomes were held with union structures and among members. Workshops were held during and after research with trade unionists which focused on the information and issues arising from the research, and used the research process to enable unionists to formulate and carry out their own research projects. For example, NUCI embarked on a survey of its members'

views of the union. Presentations were made at a regional workshop of African trade unions (OATU) and at the British Universities and the African Studies Association of the UK. The researchers also participated in workshops with other research and development agencies in Zimbabwe such as the Zimbabwe Institute for Development Studies, UNICEF, ZCTU's Economic Department and Health Department, and a NORAD project for assessing the impact of structural adjustment in several African countries.

Despite this broad and diverse dissemination, when the field work was carried out for this evaluation the report was not widely available in Zimbabwe. The summary presentation at the seminar was only available at the Zimbabwe Women's Resource Centre and Network. There were no copies of the report in the Medical Library servicing the University of Zimbabwe and the Ministry of Health; no copies in the World Bank library; no copies in the UNICEF library. A UNICEF publication on the situation of women and children in Zimbabwe, produced in 1994, makes no reference to the study, even in the chapters on the effects of structural adjustment and the situation of women.

This may have been because the report was not bound and published, because copies went to individuals rather than libraries, because the study was considered to be dated, or because these organisations tend to rely on their own data collection and analysis - a factor which needs to be considered when attempting to influence policy through research. For example, the Department of Social Welfare set up a sentinel surveillance of the social dimensions of adjustment with the assistance of UNICEF. Site surveys have been conducted annually at the household level in 40 sites since March 1992. The City of Harare's Department of Health relies on ongoing statistics collected by their health clinics. The World Bank relies on its own poverty studies, UNICEF's biannual surveys, and information from Social Welfare. The ZCTU did its own study in 1995 at the macro level using a team of ten experts in ten sectors who assessed the experience of ESAP and suggested a way forward.

No follow-up research or other work was undertaken. Nazneen Kanji remained at the London School of Economics and subsequently worked for British ODA in Tanzania. The principal researcher left the NUCI and is now working in the training department of the ZCTU on health issues.

### **Reach**

The principal researchers benefited from the project by increasing their knowledge and skills, and have continued to work in related areas of research and training. Nazneen Kanji uses the study in her teaching at the LSE in the Geography Department. Of the two union organisers from the NUCI, one disappeared two and a half years ago without a trace, and the other is no longer with NUCI. The four research assistants were not interviewed and their whereabouts were not known.

The NUCI did not benefit substantially from the project over the long term. In the short term, the trained organisers within the NUCI used their skills to carry out an internal survey. Over the long term, however, there was no continuity of staff, and even the management has changed from 1992. The Educator within the union, who is now General Secretary, was not involved in the design, research or dissemination and did not get a copy of the report. Conflicts and personality clashes within the union involving the principal researcher affected views on the report. There was therefore no sense of ownership of the research and its outputs by the union.

The IDRC-funded study also did not influence ZCTU's thinking or programmes. The ZCTU's Economist was involved with the design and research, but left for further studies before the presentation seminar. Upon his return, a new department called advocacy and campaigns was set up in the ZCTU, and the 1995 ZCTU study was used to produce a book called Beyond ESAP. Local educational programs for workers are being held, and alternative strategies to ESAP are being developed.

Respondents in the relevant government ministries and the key donors were not aware of the study and therefore it did not influence their policies and programmes. Research participants in Kambuzuma were able to articulate their views but poor urban residents did not benefit generally because policies did not change as a result of the study.

### **Impact**

In terms of expanding the knowledge pool, the study contributed to an understanding of gender and processes of change following macro-level policy changes and substantiated the hypothesis that low-income women are more adversely affected than men. It also provided empirical substantiation that structural adjustment programmes exacerbate poverty - through data on the erosion of household savings, the increase in the number of households below the Poverty Datum Line, and the exacerbation of income inequalities.

The study also provided some contrasting findings to other studies. For example, it had been hypothesised that women would increasingly participate in the labour force during crisis on the basis of previous studies in Latin America, but this did not prove to be the case in Harare - highlighting the importance of considering the context within which an ESAP is planned.

In terms of influencing policy, the research had a very limited impact, even on the trade union movement which was linked to its implementation. The NUCI did not carry the research or the policy implications forward. The ZCTU used the results in its wage negotiations in 1993, but did not formulate a policy response to ESAP until 1995, and then commissioned its own research. Government ministries involved in the implementation of ESAP and the social dimensions of adjustment were not involved in the project and have used other sources of information to influence their policies and programmes. Donors like the World Bank and UNICEF also use other sources of information.

## *Conclusion*

The research methodology was well-formulated and executed. Its impact on the pool of knowledge related to the gender-specific effects of structural adjustment programmes was as much as could be expected from a study of its size. The key factor in this success was the involvement of an international researcher with relevant experience.

The impact in terms of capacity building in the trade union movement in Zimbabwe and in terms of policymaking within government, the donor community and the trade unions, was limited. The key factor inhibiting success in this was not the initial dissemination of the report since workshops, discussions, and presentations were held and a popularised version produced. Rather, the key limiting factors are considered to be:

- the institutional home of the project
- the absence of a relationship between the project and ongoing programmes
- weak linkages to policymakers

The NUCI did not have the capacity to carry forward the results of the research by lobbying and advocating changes in policies, and this weakness was compounded by the lack of involvement of key NUCI management in the planning and outcomes of the research. The project was also not part of an ongoing programme of research and advocacy. Linkages to policymakers were not fostered during the design and implementation of the research.

### **3.3 ENHANCEMENT OF OUTCOMES**

Other research considered to be useful by Ms Kanji was a study on the role and nature of social groups and organisations in which women participate; and comparative research between different regions of the developing world to provide greater understanding of different responses to economic change. It might also have been useful to continue to survey the households involved in the research, although this would be difficult. Any other follow-up in terms of capacity building in the trade unions or influencing policies would require a totally new approach.

### Summary of Reach and Impact

Potential Beneficiary/User	Impact Area	Nature of Impact	Actual Extent Benefited/ Affected	Potential for Future Benefit
Principal researchers (2) Union organisers (2) Research assistants (4)	Knowledge Capacity building	Increased knowledge of research techniques, impact of ESAP Ability to carry out and analyse results of research	High- research output PhD level quality High - for principal researchers & union organisers	None - research results now dated. None - no follow up to project.
NUCI ZCTU	Knowledge Capacity building Policy formulation	Increased knowledge of impact of structural adjustment. Increased organisational ability to conduct research and utilise results in programmes Development of policies related to social dimensions of structural adjustment or related issues.	Low - study not utilised on ongoing basis Low-NUCI Research Department folded, ZCTU staffed by one Economist Low - no policy development in NUCI, ZCTU eventually developed policy using its own commissioned research	None - report not available within unions None None- results outdated, report not readily available.
Relevant Government institutions Donors-World Bank, UNICEF	Knowledge Policy formulation	Increased knowledge of the impact of structural adjustment policies. Development of policies related to SDA or related issues.	Low - study not utilised, not currently available. Low - policy development influenced by other macro-economic research.	None - research results now outdated. None - no follow-up to project
Participants in research (100-120 households in Kambuzuma). Urban high-density population	Knowledge Public good	Improved understanding of impact of ESAP. Improved living conditions through changes in policies.	Medium - for participants, received feedback in popularised form. None for other residents - no dissemination None - no policy formulation resulted from project	None - outdated. None - no follow up.

**LIST OF DOCUMENTS**

"Beyond the Economic Structural Adjustment Programme (ESAP) in Zimbabwe: Plan of Action for the Third Phase of the ZCTU 'Beyond ESAP' Programme, May 1996-April 1997", Zimbabwe Congress of Trade Unions, May 1996

Children and Women in Zimbabwe: A Situation Analysis Update 1994, UNICEF, June 1994

"The Gender-Specific Effects of the Economic Structural Adjustment Programme in Harare, Zimbabwe", Nazneen Kanji, Niki Jazdowska, December 1993 (Final Report).

"Seminar on the Gender-Specific Effects of ESAP on Households in Kambuzuma, Harare", Courteney Hotel, Harare, 11 February 1993, Nazneen Kanji, Niki Jazdowska, February 1993.

"Sentinel Surveillance for SDA Monitoring", Inter-Ministerial Committee on Social Dimensions of Adjustment Monitoring, January 1993 and April 1994

"Project Summary - Gender, Health and Structural Adjustment (Zimbabwe)", IDRC, June 5, 1991.

**LIST OF PEOPLE INTERVIEWED**

Nazneen Kanji  
Geography Department  
London School of Economics  
London

Godfrey Kanyenze  
Economist  
Economics Department  
Zimbabwe Congress of Trade Unions  
Harare

Dr Kapoor  
Deputy Resident Representative  
World Bank  
Harare

Mrs. Makuwaza  
National Economic Planning Commission  
Ministry of Finance and Economic Development  
Harare

Mr. Maruve  
Social Dimensions Fund  
Department of Social Welfare  
Harare

Fred Mpofu  
General Secretary  
National Union of the Clothing Industry  
Bulawayo

Maureen Wellington  
Assistant Director of Health  
City of Harare  
Harare



#### **4.0 NAMAQUALAND: LAND CLAIMS AND THE FUTURE OF THE RESERVE (SOUTH AFRICA) - PROJECT NO. 92-8452**

##### **4.1 PROJECT DESCRIPTION**

This project was implemented through a non-governmental organisation - the Surplus People Project (SPP) - which had been involved in land claim disputes in the Cape Province. The project originally consisted of two separate projects: one to investigate land claims and the implications of these claims for land redistribution; and the other to look at the future of the Namaqualand reserves in terms of the management and use of the land and natural resources, and to analyse forms of local and regional government which would meet the needs of residents and the development of the region. The research was carried out by three researchers contracted by SPP from 1993 to 1995. The project was implemented in a very dynamic environment where land policy, local government, and development policies, institutions and programmes were changing.

The key issues for the evaluation were:

- What was the impact in terms of land claims and land distribution policy?
- What was the impact in terms of planning for the future development of the reserves?
- What was the impact in terms of policies on local government structures for reserves?
- What was the impact in terms of creating or strengthening community-based organisations working for land distribution, development or democratisation?

##### **Context**

###### *External Context*

Namaqualand is a sparsely populated and semi-desert area of 47 700 sq. kms. Its population of 60 000 is scattered in 14 towns, the administrative centre of Springbok, large white-owned farms, diamond and copper mining areas, and six "coloured" reserves (refer to Appendix 1, Map of Coloured Reserves in Namaqualand). Two other reserves are outside of the magisterial district but are still considered culturally as part of Namaqualand - Ebenhaeser and Rietpoort - and were included in the land claims research.

The reserves started as mission stations in the 17th century in an attempt by the church to protect land for the inhabitants against the encroachment of settlers. In 1909, the reserves came under the control of the state which still owns the land although it is held communally in trust and grazing is shared. As of 1963, only coloured people were allowed to live in the reserves. In the 1980's the apartheid

government tried to privatise the communal land and SPP joined the Namaqualanders in a successful struggle to resist this. In 1991, at the time that the project was planned, new land legislation had been introduced which appeared to threaten the future of the reserves.

The new Government of National Unity came into power with a strong commitment to the redistribution of land, moved swiftly to return land to some of the victims of forced removal, and tabled the Restitution of Land Rights Act which provides for restitution in cases where dispossession took place as a result of apartheid policies and laws passed since 1913. The Department of Land Affairs' programme is restitution, redistribution to communities demonstrating need, security of tenure including the recognition of different forms of tenure, and assistance in the sustainable use and development of land by beneficiaries of the land reform process. A legislative framework was put in place to facilitate this process (Appendix 2, List of Recent Relevant Legislation).

Although the will was there, however, the land reform process soon became bogged down by fiscal constraints, delays in finalisation of policy and the establishment of institutions and processes, entrenched attitudes, weak provincial and local governments, and an underestimation of the difficulties of community-level engagement. Land reform turned out to be far more complex and time-consuming than originally anticipated.

Under the Local Government Transition Act, local government negotiating fora were established and later interim local councils, leading to non-racial democratic local elections in October of 1995. In Namaqualand, a District Council was created to cover the whole area, transitional local councils were established in municipal areas, transitional councils in smaller areas, and transitional representative councils in white farming and mining areas. A new Act on Local Government is to be introduced next year to increase local autonomy and provide for different categories of local government.

#### *Institutional Context*

Surplus People Project got involved in Namaqualand at the request of the National Union of Mineworkers in the 1980's when the House of Representatives attempted to privatise the land. With the changing political climate, SPP changed their orientation from resistance to identifying solutions and facilitating implementation. They are considered one of the strongest members of the National Land Committee - an affiliation of ten organisations working on land issues in South Africa.

During the course of the project, however, there was a degree of instability within SPP. The initial Project Leader who had conceptualised the project went on extended leave soon after it was initiated and only became involved again at the reporting stage. A replacement was found eventually on a part-time basis, but this was after the researchers had already begun their work. A Research Advisory Committee of legal and academic experts was established to guide the process, but one member of the Committee expressed frustration at the Committee's inability to affect the course of the research. It is the view of the evaluator that the difficulty lay in the translation of the advice into action through the management of the project within SPP. The former Director of SPP resigned before the final technical report had been written, but the new Director became well-briefed on the issues and the report which was eventually produced was comprehensive.

### *Conclusion*

The research came out of the particular circumstances and desires of the Namaqualand area. While it was being conducted there were tremendous changes in South Africa and it was done under far more dynamic conditions than originally anticipated. More clarity about the direction to be taken by policymakers was given by the transition and an opportunity was provided to contribute to policy formulation, but there was difficulty adapting the workshops to include the latest information. Urgent issues also cropped up which demanded the attention of the inhabitants of Namaqualand, the researchers, and SPP and affected the timely completion of the research.

At the time, SPP was the most appropriate institution to carry out the research, although it was the first major research project that they had handled. Management instability, however, affected the direction and management of the researchers and the completion of the research within budget.

### **Objectives**

The original objectives of the research were:

1. To assess land claims, their implications, and options for retaining communal reserve land in Namaqualand sub-region.
2. To empower local communities in the sub-region.
3. To contribute towards appropriate land policy and governance systems underpinning sustainable land use in the country.

### *Conclusion*

The first objective was largely met, although land claims in only four of the six reserves in Namaqualand were assessed due to insufficient resources and time; and the future of the reserves in terms of continuing to exist no longer remained an issue after the change in government. The second objective was the most successful achievement of the project, as the research process brought local communities together, informed and involved them, and initiated a process for the negotiation of land claims and participation in other policy issues in the sub-region. The third objective was met and a contribution made, with further contributions being made through SPP since the termination of the project.

### **Strategy**

The strategy to achieve the objectives was to carry out participatory research on land claims and perceptions of future land use among the people of Namaqualand; and on the relationship between Namaqualand and the wider region and the country; and as a result to propose legal instruments for non-racially based community land trusts and forms of local and regional government. As the research unfolded, this strategy was changed somewhat to focus on present and future land tenure in Namaqualand and the relationship between land ownership, management and use, and to include research on the role and rights of women. The change in strategy was reported on at the end of the project, and there is no evidence in the project file of IDRC having approved the change, other than by acceptance of the final report.

This strategy was consistent with the philosophy within IDRC's Regional Office for Southern Africa (ROSA), as articulated by the Regional Director, that the purpose of research should be to help people define their needs and build coalitions. The communities in Namaqualand had long been expressing the need to investigate land claims, and SPP saw the need to extend this to the design of a programme for the future of the reserve in order to ensure sustainability of land use after it had been transferred.

### *Conclusion*

In hindsight, the strategy was overly ambitious in terms of both the land claims research and the research on the future of the reserves, given the time and funds which were available and the issues which needed to be tackled. Land claims could only be investigated in four of the six reserves; the futures work did not address the wider region or the country; and work on the development options was not finalised. The participatory approach was the most successful component of the strategy and ensured that the communities benefited the most from the process.

## Inputs

IDRC provided a grant of \$147 500 to the project and was the sole donor. The funds were budgeted as follows:

Salaries and Allowances	\$ 56,300
Research Costs	\$ 41,300
Support Costs	\$ 5,300
Publication	<u>\$ 14,600</u>
Total	\$147,500

Source: Project Summary

No ICT's were provided, and were not considered necessary by SPP since the primary means of communication with the communities was through workshops, pamphlets or folders. NRM-GIS technology was provided to SPP through another donor-funded project. SPP also considered that there was little need for outside expertise because SPP had their own researchers who were well-qualified and experienced, and could draw on a support group within South Africa of academics and lawyers. Monitoring visits were made by the IDRC Program Officer, but the technical input from IDRC was limited according to both IDRC and SPP.

SPP contributed \$21 100 from its own resources for the research coordinator, other professional input, and administrative costs. Because of delays in the release of IDRC's funds due to the set up of ROSA, the start of the project was delayed. Later, as the research expanded in complexity and scope, SPP provided more of its own resources. An attempt was made to secure more funding from IDRC near the end of the project to compensate SPP, but IDRC did not agree because of financial cuts to their global budget in 1995, and further cuts expected in 1996.

## *Conclusion*

It was useful to have a recipient which had sufficient resources to cover for shortfalls or delays in donor funding. Due to management problems within SPP related to the project, however, SPP was late in realising and presenting a case for additional funds, which may have affected the final output. While research was carried out on development options (mining, tourism, agriculture), information related to this research was not written up by the researcher. In the opinion of the researcher, the research required more time and funding in order to be completed. According to SPP at the time, however, this information was of questionable

utility. (The information was later used in SPP's follow-up work, and was provided to the Northern Cape Provincial Government and the Mining and Energy Policy Centre by the researcher - so it was not lost.)

### **Activities**

The land claims research was carried out through the collection of primary data in archives, deeds, offices, etc., through oral evidence, and through reading and analysis of secondary material. Workshops were held to report back on the material collected.

The futures of the reserves research was formalised at a conference held in January 1994 on land tenure, community trusts and local government. The conference provided direction for the research and an introduction to the opinions of key players in the debates on communal land tenure. Thirty workshops were held with communities on land tenure, the use of natural resources, and development options. Secondary material was also consulted.

All three researchers were also involved in other related activities - the delivery of courses, contributions to other SPP organisational issues, peace monitoring during the elections, lobbying the new government on provincial boundaries, and participation in various network and policy fora.

## **4.2 PROJECT OUTCOMES**

### **Outputs**

(Refer to Appendix 3, List of Project Publications.)

The research on land claims resulted in a book entitled Land Claims in Namaqualand, 1995 produced in English and Afrikaans, plus primary reports on land claims in the communities studied. The research was also used as the basis of a document on aboriginal title doctrine and its applicability to South Africa. The book was officially launched in Cape Town, with the Minister of Agriculture speaking. About 1000 copies have been produced and sold through the publishers.

The research found that the nature of land claims is historical, and the object is to gain additional land. The book provides a history of how the land was taken, without trying to describe in detail the land claimed by the present inhabitants of these areas. Each of the claims had distinctive features, but all reflected the dispossession of groups of people through colonisation. The conclusion was that the claims fell outside the ambit of the Restitution of Land Rights Act and should be pursued based on moral and historical right.

A workshop was held in July 1994 to report back on the research. Two hundred and fifty people attended, and it was resolved by the participants that local negotiating teams be elected in each area to identify land and begin to conceptualise land claims and land use options.

The research on the future of the reserves resulted in several working papers and final reports on current and future land use in Namaqualand, the role of women, and potential solutions in terms of local government at the primary and district level. About fifty copies of each report was produced initially and distributed to the research group, the University of Cape Town library, NLC affiliates, the University of the Western Cape, and government. SPP has a Publications Unit which produces formal research publications as well as occasional pamphlets and material for workshops; and a Resource Centre through which academics, students, government, other NGO's, and the public can access SPP publications.

The issues were discussed at workshops for the communities concerned - either the community at large, or land claims committees, or sub-regions or districts. Government, the private sector and other NGO's also participated in these workshops. The evaluator was able to attend a workshop on minerals policy facilitated by SPP on behalf of the Environmental Monitoring Group, involving about 40 community representatives (including about ten women). The participants came prepared to discuss the issues, made a presentation on the situation and problems in their community, and developed solutions which are to be carried forward by their nominees to a national conference.

The research on land tenure outlined the nature of land tenure currently used by the inhabitants, how the system works, and future options which arose out of the workshops. Investigations were carried out in three of the six coloured reserves, and three other communities. The communities' preference was for a combination land tenure system ranging from private ownership (usually for urban land) to communal ownership of grazing land. All were agreed on the need to transfer title deeds from the Minister to the people through locally elected trustees, and to separate the management from the ownership of communal land. No agreement could be reached on the legal status of agricultural land and land under irrigation. There were also conflicts about the rights of people coming from outside the community, and people who live with others within the community.

In terms of the status of women in Namaqualand, the research identified an increasing awareness by women of their marginalisation from community decision making. They had lost access to and control of key economic resources and, as a result, their former status and authority. There were constraints in terms of organising themselves including lack of information, lack of confidence,

pressures on time, and lack of experience. They needed greater access to productive resources and political authority - through organisation into separate women's organisations and representation on community-wide structures. The Namaqualand Women's Forum was initiated as a result of one of the workshops held on the role of women.

The research on previous and proposed rural local government structures identified the need for increased transparency, a district level tier to increase the viability of local government, and increased levels of participation through community-based organisations and proto-committees of various kinds. Three principles were proposed to guide a decision about whether management is vested in the local authority or in a community land trust. These are: decision-making power about land management should be vested as close to the beneficiaries of the trust as possible; no local institution or body should be given too many powers; and the issue of scale and local conditions should guide decisions (in other words, the geographical areas of local authorities versus the geographical areas of community land trusts needed to be compared).

SPP has continued to work on the issues of land claims and land use during and since the completion of the IDRC-funded research. This includes:

- a research and development project on natural resource management in one of the reserves in collaboration with the Land and Agricultural Policy Centre (LAPC) and the Stockholm Environmental Institute.
- the pursuit of land claims in communities through the registration of land claims, dispute resolution, socio-economic surveys and community capacity building, identification of land for purchase, the lease of state farms, local government, and the establishment of community institutions to take transfer of the land.
- work on commonage in the Western and Northern Cape with LAPC whereby an innovative solution is being tested to increase the land available to communities, without expending the government subsidies available to individuals on the purchase rather than upgrading of land. Municipalities would purchase the land and manage it as a commonage, available to those in need.
- the development of a district plan for Namaqualand which will address issues of the resolution of land claims, and reach consensus on the allocation of land and subsequent planning for its sustainable use. R1,5 million has been provided through the Department of Land Affairs of the Northern Cape government in two phases to SPP to coordinate this project.
- a proposal which will receive IDRC funding on the impact of using the household as the unit of subsidy allocation and in the identification of beneficiaries in land reform policy.



## *Conclusion*

The research that was carried out under the project was not innovative. What was innovative was the process which was used - informing and involving the communities in the debate around the issues. Much of the research has been overtaken by events although it has been used in the subsequent work of SPP on land claims and land use.

## **Reach**

The output of the research benefited the inhabitants of Namaqualand, national and provincial government, the NGO community, the academic community, and the individual researchers involved.

In terms of the communities, the land claims research directly affected four of the six reserves by helping them to understand and reflect on their history and realise that their claims were historical and not for restitution. This also had implications for the other two reserves in Namaqualand which were not included in the study, but have a similar history. The research on the future of the reserves informed communities of policy changes affecting them, and gave them an opportunity to debate issues around land use, land tenure, and local government. The research on the role of women increased their awareness and empowered some to take a more active role in their communities.

In terms of the national government, the research on land claims and land use in Namaqualand was not widely referred to in the broader policy context because the issues were particular to that region. In terms of the provincial government of the Northern Cape, the research itself had little impact because the provincial government was just being formed. Subsequent work by SPP, particularly on district planning and the pursuit of land claims, has, however, been valuable to the provincial government in addressing the needs of communal areas and in speeding up land claims.

Within the NGO community, the research has been consulted by other NGO's working in Namaqualand, including the Legal Resources Centre, the Mineral and Energy Policy Centre, and the Land and Agriculture Policy Centre. SPP's information is considered valuable because there is little politically reliable material on Namaqualand other than what SPP produces. The pamphlets which were produced under the project are also used for information and education by other NGO's and community workers in Namaqualand.

The National Land Committee has benefited less because of its more national focus. SPP did put the issue of the coloured reserves on NLC's agenda and influenced the NLC's perspective of how people were dispossessed from land.

The work on the role of women was included in a book just launched by the NLC on women, land and authority. The younger NGO - the Association for Northern Cape Rural Advancement - which works in the northern and north eastern part of the province, has benefited through attendance at SPP workshops, bringing in representatives of their target group.

In terms of the academic community, there have been some references in articles on land reform to the research, but it is not widely used outside of the Namaqualand context.

According to the individual researchers, they benefited considerably from their involvement in the project. The researcher on land claims was formerly a history teacher and is now employed as a Community Liaison Officer with the Land Commission in the Northern Cape. The researcher on the future of the reserves was involved in land struggles on a voluntary basis prior to conducting the research for SPP, and is now involved in a national pilot program on integrated resource use and planning including community-based eco-tourism and training. The researcher on local government continued to work on local government issues at a community and national level, and then moved to head up an NGO based in the Eastern Cape.

A weakness of the project was the failure to develop local research capacity in Namaqualand. Namaqualanders are sensitive about the fact that most of the research which is undertaken involves people coming from outside. People who were identified by SPP to carry out work for the project at the local level took up other jobs and others let the project down. Some women in two communities did, however, contribute and conduct some of the research. SPP has corrected this weakness since the project was implemented by setting up a local office and staffing it with Namaqualanders.

### **Impact**

Of the population of 60 000 in Namaqualand, approximately 50 000 have a link to the reserves. Local negotiating teams and a regional coordinating structure were established as a result of the land claims workshop in 1994 which facilitated the resolution of conflict within and between communities and the securing of money and other resources. To date, more than 54 000 hectares of communal grazing land in Namaqualand has been bought by the provincial Department of Land Affairs and added to municipal commonage<sup>1</sup>. This land is to be made available to people whose aboriginal land claims fall short of the 1913 cut-off

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<sup>1</sup> Land surrounding a town, owned by the municipality or local authority, usually acquired through state grants or from the church, and intended to be used to serve the interests and needs of the inhabitants of the town (i.e. for grazing, market gardening or recreation).

date for restitution. The communities affected include a total of 29 600 people. By comparison only 36 000 hectares has been purchased for redistribution in Kwazulu-Natal and 13 000 hectares in Mpumalanga province. (Because of the low carrying capacity of land in Namaqualand, however, fewer households benefit from each hectare of land.)

This success has been attributed by the provincial Department of Land Affairs to the fact that people in Namaqualand were well-organised, that NGO's like SPP working in the region had built up considerable expertise over the past decade, and that residents were highly amenable to working out local solutions in tandem with the state and non-governmental organisations. As the Director General of the national Department of Land Affairs was quoted as saying, "If anything, this has shown that while government policy may be questioned, people on the ground are prepared to work together to find common solutions." (quoted in the Metro Sunday Times of Cape Town, April 27, 1997).

The research on the future of the reserves enabled communities to formulate a community response to policy changes which could be fed into the legislative process through SPP. Differences over land use, however, were increasingly heightened as the country moved towards local elections, so no agreement on that issue was reached. Local government issues still have to be permanently addressed through a forthcoming Local Government Act. The local government researcher remained on contract with SPP to provide advice and assistance to local communities after the research was completed.

As a result of the research on women, the Namaqualand Women's Forum was formed in August 1994 at a workshop attended by 140 women. The first formal meeting of the forum was held in October of that year and local branches were established in at least 8 villages. The researcher provided advice and support to the Forum from her own resources outside of the project. Today, about three branches continue to exist and have benefited their members through the establishment of small-scale entrepreneurial projects funded by other donors. The Forum itself, however, has faltered in the face of party politics which took precedence over gender politics during the local election of 1995, and in the face of resistance from some men.

Women were elected to interim structures at the local level, but few remained in the transitional councils which succeeded the interim structures. Women are however represented on the land claims committees, and continue to be involved in other community discussions. For example, the majority of the participants at a recent meeting on the privatisation of the state-owned mining company, Alexkor, were women.

In terms of policy impact, the research on land claims raised the question of how claims that fall outside the Restitution Act should be dealt with, a reference to redistribution claims was therefore included in the Act, and negotiations were suggested as the route to follow. The research on the future of the reserve had some impact on the revision of Act 9 related to the Coloured Rural Reserves, and SPP participated in government consultations last year on the subject. SPP's subsequent pilot work in Namaqualand on the establishment of Community Property Associations provided a case study against which to test the Community Property Association Act; and its work on municipal commonage influenced a recent policy submission from Land Affairs on the subject. Other issues related to land ownership, land use, and management/administration are still being addressed.

The work on local government fed directly into the decision of the Demarcation Board to retain the reserve boundaries and to create a two tier system of local government. The principle of two-tier government was accepted by the Minister of Provincial Affairs, his deputy, and nine Members of Provincial Councils responsible for local government. The researcher on local government became involved in the local government lobbying of NLC, and he participated on the Northern Cape Provincial Committee and technical committee on rural local government.

### *Conclusion*

The major beneficiaries of the project were the communities in the coloured reserves of Namaqualand. The benefit was derived primarily through the participatory research process which was used in the project, and the assistance in forming local organisations to pursue the various issues further. This subsequent work has resulted in the successful negotiation of a number of land claims which have put Namaqualand in the forefront of land reform in the country.

The pool of knowledge related to land claims and land tenure and use was not increased greatly by the research, but it did synthesise information from a number of sources, including the relevant communities, in a more accessible format. The development of policy on land distribution, land use and local government was influenced to some extent by the research, but by and large the situation in Namaqualand is perceived by policymakers as being somewhat unique.

SPP's capacity to carry out participatory research, and its networks and connections in the region and the province were built up as a result of the research. SPP has chosen to support government in its land reform efforts and to try and effect changes as quickly as possible while resources are still available. They continue to be successful in this approach in attracting donor funds as well.

Community organisations on land claims were also built up through the research process, and the research results provided a useful background to subsequent negotiations.

The key factors in the success of the project were:

- the approach which was used to carry out the research
- the strengths of SPP in land reform and working with the Namaqualand communities
- the stubbornness of the communities themselves in persisting to regain their land.

The factors inhibiting greater success were:

- in terms of policy, the uniqueness of Namaqualand within a national context
- the over-ambitiousness of the original objectives and research plans, particularly given the timeframe and funds available
- discontinuity in the management of the project which prevented these weaknesses from being recognised and corrected early in the process.

#### **4.3 ENHANCEMENT OF OUTCOMES**

The geographic limitations of the land claims research did not have any long-term impact on those communities which had been excluded from investigation because they were subsequently able to benefit from further work by SPP on land claims. The failure of the research on the future of the reserves to come up with development options and to resolve certain issues related to land use and local government reduced the more immediate impact of the project, but these issues are being addressed through subsequent work.

It is debatable whether the timing was right for resolution of some of the issues, and whether sufficient resources could have been made available by IDRC to fully address development options. For example, R1,5 million (roughly CDN\$500,000) has been allocated for district planning by the provincial government, and it is anticipated that further funds will still be required.

SPP is well-placed to continue the work and enhance the outcomes. In the view of the national Department of Land Affairs, long-term research is better done outside government by policy centres or NGO's. The communities in turn view SPP as being critical to the implementation of the results of research. Although the question does arise as to when SPP's role ends, the communities do not yet

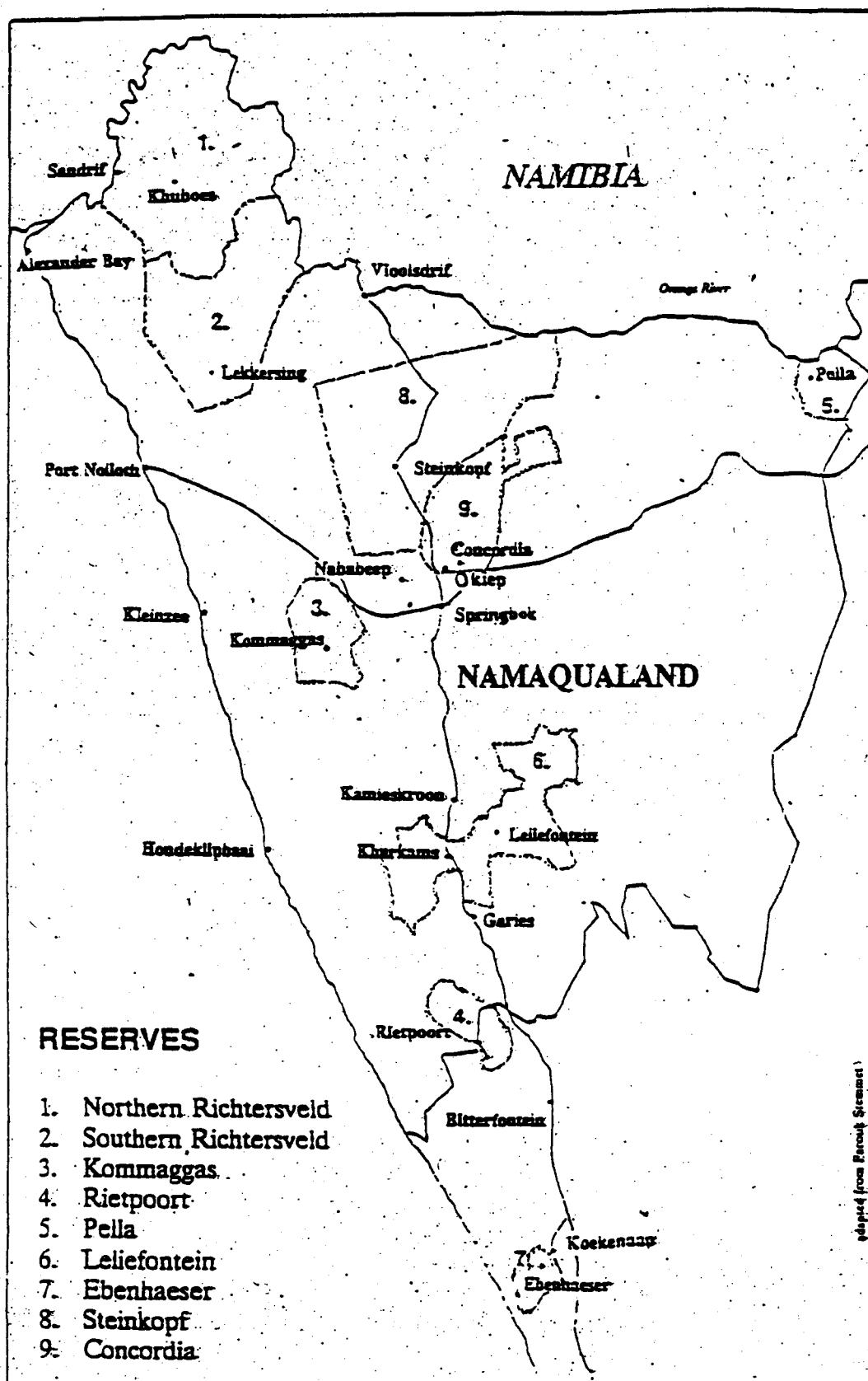
feel that they are ready to assume full responsibility given the number and complexity of the issues they are still facing.

IDRC is involved or will be involved in a number of initiatives related to land reform outside of Namaqualand. They have funded an Eastern Cape Land Reform Pilot Project through the University of Western Cape, and some of the work of the NLC. They are also in discussion with the Ministry of Agriculture of the Northern Cape to fund a pilot project in Namaqualand to provide information on land use and mineral policy. The region would appear to be an ideal candidate for such a pilot given its remoteness and sparse population, far from the provincial administration.

### Summary of Reach and Impact

Potential Beneficiary/User	Impact Area	Nature of Impact	Actual Extent Benefited/ Affected	Potential for Future Benefit
Namaqualand coloured reserve inhabitants (approx 50,000)	Knowledge Capacity building  Public good & income generation	History of land claims and route to pursue them. Policy changes. Negotiation, policy dialogue, conflict resolution, empowerment.  Redistribution of land, land use plans.	Medium - not all areas or issues covered. High - local land committees established during process. Women's Forum established and increased participation of women generally. High - indirectly, subsequent land claims potentially benefited 29,600 people. New forms of land management and administration established.	Low - reports overtaken by events. None - taking place through other projects.  High - indirectly through continuing land distribution & land use planning
National government Provincial government	Knowledge  Policy formulation	Land claims and land use in Namaqualand.  Land claims, land tenure, land use and local government policies.	High - for those involved in the area.  Low - context particular to Namaqualand. Policies on many of these issues still to be formulated.	Medium - reports still provide useful background. None - overtaken by events
NGO community Academic community	Knowledge	Social, economic, external and institutional conditions in Namaqualand. Land claims, land tenure, land use and local government issues.	High - for those working in Namaqualand. Low - for those working in a national context.	Medium - reports still provide a useful background.
SPP Researchers (3) Local researchers	Knowledge Capacity building	Land claims, land tenure, land use and local government issues. Research skills, community facilitation skills.	High - for SPP and researchers. Continue to work on issues. Low - for local researchers, few involved.	Low - reports overtaken by events. High - indirectly through individuals continuing application of skills.

## MAP OF THE COLOURED RESERVES IN NAMAQUALAND





**LIST OF RECENT RELEVANT LEGISLATION**

*Act 9, 1987*

Deals with the administration of reserve areas which are held in trust by the state with certain rights for the community. To be repealed or amended in order to make security of tenure possible under a variety of tenure systems which are consistent with the general legislation as well as new land reform policy. It has been proposed that the state provide an enabling framework that results in local communities negotiating amongst themselves rights of access to the land as well as agreements on the management of the resources.

*The Provision of Certain Land for Settlement Act, 1993*

Provides for the designation of land for settlement purposes and financial assistance for settlement support.

*The Upgrading of Land Tenure Rights Act, 1993*

To be amended. Provides for the upgrading of various forms of tenure into ownership.

*Restitution of Land Rights Act, 1994*

Provides for the restitution of rights in land to those dispossessed of land in terms of racially based policies in the past.

*The Development Facilitation Act, 1995*

Introduces measures to speed up land development, especially the provision of serviced land for low-income housing.

*The Land Administration Act, 1995*

Makes provision for the assignment and delegation of powers to the appropriate authorities.

*The Land Reform (Labour Tenants) Bill, 1996*

Provides for the purchase of land by labour tenants and the provision of subsidies to this end.

*The Interim Protection of Informal Land Rights Bill, 1996*

To protect people with insecure tenure from losing their rights to and interest in land pending long-term reform measures.

*The Communal Property Associations Bill, 1996*

Will enable communities or groups to acquire, hold and manage property under a written constitution.

*Green Paper on South African Land Policy, 1996*

Restitution, redistribution, land tenure reform, financial grants, institutional arrangements.

*Local Government Transition Act, 1994*

Provides for interim and transitional local government authorities.

*New Act on Local Government, 1998 (planned)*

To provide for ongoing local authorities which increase local autonomy, allow for different categories of local government, and outlines the relationship between district and primary local authorities.

Source: "Namaqualand District Planning and Management Project - Final Report on Phase One", Philip van Ryneveld, Surplus People Project, 23 May 1996.

**LIST OF PROJECT PUBLICATIONS**

"Current and Future Land Use in the Namaqualand Rural Reserves", Fiona Archer, Surplus People Project, April 1995

"Executive Summary of Baseline Information on Namaqualand", Fiona Archer, Surplus People Project, September 1993.

Land Claims in Namaqualand, Surplus People Project, 1995.

"Land Tenure in the Namaqualand Rural Reserves", Fiona Archer, Surplus People Project, November 1993.

"Maladministration, Manoeuvring, and the Meandering Transition to Democracy in the Namaqualand Reserves", Ashley Westaway, Surplus People Project, May 1994.

"Plotting the Path to Popular and Viable Local Government in Namaqualand", Ashley Westaway, Surplus People Project, December 1994.

"A Woman's Work Is Only Recognised When It Is Not Done: Women, Land Tenure and Land Reform in Namaqualand's Coloured Rural Reserves", Fiona Archer and Shamim Meer, Surplus People Project, April 1995.

"Working Document on the Role of Women in Namaqualand", Fiona Archer, Surplus People Project, October 1993.

Plus numerous pamphlets for communities (three of which were reviewed for the evaluation)

**LIST OF PEOPLE INTERVIEWED**

Fiona Archer  
Program Manager  
National Pilot Program on Land Options  
Department of Land Affairs  
(previously researcher on future options)

David Brooks  
Chief Scientist  
Biodiversity and Equity in Use of Natural Resources  
IDRC-Ottawa

Ben Cousins  
SPP Research Advisory Committee  
Cape Town

Don de la Harpe  
Community Liaison Officer  
Land Commission  
Northern Cape  
(previously researcher on land claims)

Saliem Fakir  
Programme Manager: Natural Resource Management  
Land and Agriculture Policy Centre  
Johannesburg

Stephen Hurlbert  
Director  
SPP  
Cape Town

Gerard Jordaan  
Deputy Director Planning  
Department of Land Affairs  
Northern Cape

Hartmut Krugmann  
Senior Program Officer  
IDRC-ROSA

Wardie Leppan  
Program Officer  
IDRC-ROSA

Renee Mouton  
Department of Land Affairs  
Northern Cape

Brendan Pearce  
Director  
National Land Committee  
Johannesburg

Sue Power  
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SPP  
Cape Town

Marthinus Saunderson  
Director  
Department of Agriculture  
Northern Cape

Henk Smith  
Attorney  
Land, Housing and Development Unit  
Legal Resources Centre  
Cape Town

Mike Solomons  
Mineral and Energy Policy Centre  
Johannesburg

Lala Steyn  
Director  
Redistribution Policy and Systems  
Department of Land Affairs  
Pretoria  
(previously Project Director)

Marc van Ameringen  
Regional Director  
IDRC-ROSA

Rumina Van Wyk  
First President  
Namaqualand Women's Forum  
Steinkopf, Namaqualand

J F Van Wyk, M.P.  
National Assembly  
Cape Town  
(former fieldworker for SPP)

M Viljoen  
Personal Assistant  
MEC Agriculture  
Northern Cape

Peter Wakelin  
Economic Development Unit  
Economic Affairs  
Northern Cape

Ashley Westaway  
Director  
Border Rural Committee  
East London  
(previously researcher on local government)

LIST OF DOCUMENTS REVIEWED

“An investigation into the impact of using ‘the household’ as the unit of subsidy allocation, and in the identification of beneficiaries, in land reform policy”, A project proposal by the Surplus People Project and Centre for Rural Legal Studies, October 1996.

“Closing the Door: The implication and implementation of the 1993 Land legislation”, National Land Committee and Surplus People Project, May 1994.

“Constitution: Surplus People Project, Western Cape”

“Current and Future Land Use in the Namaqualand Rural Reserves”, Fiona Archer, Surplus People Project, April 1995 (Final research report).

“Executive Summary of Baseline Information on Namaqualand”, Fiona Archer, Surplus People Project, September 1993.

“A guide to the department of land affairs’ land reform programme”, October 1996.

“If One Can Live, All Must Live”, A report on past, present and alternative land use in the Mier Rural Reserve in the Northern Cape, Surplus People Project, 1990.

In Person: Profiles of Researchers in Africa, Asia and the Americas, IDRC, 1995

Land Claims in Namaqualand, Surplus People Project, 1995.

“Landelike Plaaslike Regering”, Surplus People Project

“Land Tenure in the Namaqualand Rural Reserves”, Fiona Archer, Surplus People Project, November 1993.

“Land Use in Namaqualand: Towards a community-based management strategy for agricultural land use in the Namaqualand reserves; Leliefontein, Steinkopf and the Richtersveld”, Henry Krohne and Lala Steyn, Surplus People Project, July 1990.

“Maladministration, Manoeuvring, and the Meandering Transition to Democracy in the Namaqualand Reserves”, Ashley Westaway, Surplus People Project, May 1994.

“Namaqualand District Planning and Management Project - Final report on Phase One (Pre-planning Phase)”, draft for submission to the Northern Cape Land Reform Steering Committee for discussion on 30th May, 1996 at Kimberley, by Philip van Ryneveld for Surplus People Project, 23 May 1996.

“Namaqualand: Land Claims and the Future of the Reserve”, Surplus People Project, February 1995 (Final Report)

“Plaaslike Regering in Leliefontein”, Surplus People Project

“Plotting the Path to Popular and Viable Local Government in Namaqualand”, Ashley Westaway, Surplus People Project, December 1994 (Final Report)

“Project Summary”, IDRC, October 26, 1993 “Research Projects”, Surplus People Project, December 1991

“Range management and land reform policy in post-apartheid South Africa”, Ben Cousins, Programme for Land and Agrarian Studies, School of Government, University of the Western Cape, 1996

“Rural Livelihoods and Sustainable Natural Resource Management”, Interim Report, Harry May & Thurston Marinus, Surplus People Project, May 1995.

“SPP Progress Report March-September 1993”, Surplus People Project

“SPP Progress Report February-July 1994” Surplus People Project

“SPP Progress Report January-June 1995” Surplus People Project, March 1996

“SPP Progress Report July-December 1995” Surplus People Project, July 1996.

“SPP Progress Report January-June 1996” Surplus People Project, April 1997.

“Submission to the Land Reform Policy Committee - Municipal Commonage - policy and procedures”, Lala Steyn and Carmen van der Merwe, 20 March 1997.

“Sustainable Rural Livelihoods and Natural Resource Management in Semi Arid Areas of South Africa”, Saliem Fakir and David Cooper, LAPC, October 3, 1996.

“Town Commonage in Land Reform and Local Economic Development: A Preliminary Study” Megan Anderson, Surplus People Project, Land & Agriculture Policy Centre, Research Paper, September 1996.



"Victory for land reform - Ambitious plan wins back vast tracts for Namaqualand people", RL De Villiers, Cape Sunday Times, April 27, 1997.

"A Woman's Work is Only Recognised When It Is Not Done: Women, Land Tenure, and Land Reform in Namaqualand's Coloured Rural Reserves", Fiona Archer and Shamim Meer, Surplus People Project, April 1995 (Final research report).

Women, Land and Authority: Perspectives from South Africa, edited by Shamim Meer, Oxfam (UK and Ireland) and David Philip Publishers in association with the National Land Committee, 1997.

"Working Document on the Role of Women in Namaqualand", Compiled by Fiona Archer, Surplus People Project, October 1993.

## **5.0 CONSTITUTIONAL INITIATIVES FOR GENDER EQUITY (SOUTH AFRICA) PROJECT NO. 92-0902**

### **5.1 PROJECT DESCRIPTION**

This project provided support over two years (1993-1994) to the newly formed Women's National Coalition (WNC) to carry out participatory research to identify the needs of women in South Africa, and to ensure that the new constitution which was being drafted incorporated clauses to address those needs. The project was part of a broader initiative by the WNC to create a coalition, set up regional centres, and carry out training and public awareness. A Women's Charter was adopted by the WNC and a research report was prepared. An evaluation of the project was carried out and a Project Completion Report has been prepared which indicates that the objectives of the project were exceeded.

The key issues in the evaluation were:

- What has been the longer-term impact in terms of affecting the final constitution which was drafted, and in influencing any legislation related to women's equality or women's issues?
- Are there ways in which the participatory aspect of the research could have been improved upon to increase the input from the grassroots level, keeping in mind the tight externally-driven deadlines under which the project was operating?
- What are the key factors which made this project a success which could be replicated in other projects?

#### **Context**

During the national liberation struggle, women's rights had been subsumed by other political struggles. During the period of negotiations for a new constitutional dispensation which began after 1990, debate on a range of human rights issues came to the fore. Women were excluded from the negotiation process - initially within the main political parties and later within the multiparty negotiations. This exclusion was an important source of organisational coherence for an extremely heterogeneous grouping of women who were afraid that women's concerns would be overlooked.

The interim constitution was written, the first democratic elections held in April 1994, and a constituent assembly elected to complete a new constitution. This moving context was highly charged, with negotiations threatening to collapse and key women within the Coalition being drawn into a number of processes, creating an urgency and immediacy to the research but also creating stresses within the project.

The Women's National Coalition was a broad group of approximately seventy national organisations and ten regional coalitions from across the political, racial, economic, religious and cultural spectrum. They came together to form the Coalition in April 1992 and to work to entrench gender equality in the constitution of South Africa - a specific common purpose for a limited time period. The original membership grew to 92 organisations and 13 regional coalitions by February 1994.

A national office was set up in October/November 1992 in Johannesburg to service the administration, organisational and research needs of a growing organisation. Voluntary committees for research and legal work assisted staff and drew in the best women researchers and legal minds in the country. Regional coalitions were staffed with salaried coordinators and acted as a link between the national office and participating organisations in the campaign and research components.

### **Objectives**

The objectives of the project were:

1. To raise the general level of understanding of gender issues among men and women in South Africa.
2. To stimulate women to articulate their needs, concerns and demands for constitutional change and to feed them into the constitutional processes.
3. To identify the central issues for a Charter of Women's Equality and to assist in the formulation and adoption of such a Charter.

### *Conclusion*

These objectives were achieved. A Charter of Women's Equality was drafted and adopted by a National Conference of the WNC on the basis of the participatory research which was undertaken to determine the issues of concern to women. This Charter informed the lobbying work of the WNC during the interim constitutional negotiations and influenced a number of clauses within the Constitution. The general level of awareness of gender issues in South Africa has not been measured before or after the process, but an estimated 2 million women, men and children were reached through the WNC's Charter campaign.

### **Strategy**

It was decided that a national campaign would be launched in order to encourage women to articulate issues which were preventing them from achieving full equality politically, socially and economically; and to use the Charter which

resulted to ensure women's effective equality at the constitutional, legislative and policy levels and act as an organising and education tool. The research component linked to this process was participatory and used to inform and educate women as well as to record their concerns. There were parallel and inter-related components related to the Charter Campaign and a legal campaign. This strategy was developed by a group of women within the women's movement and was consistent with IDRC's objective in South Africa of helping people to define their needs and build coalitions.

### *Conclusion*

The strategy which was used was well-conceived - each of the components fed off of and fed into each other, so it was not just a question of carrying out research, or of lobbying for issues to be included in the Constitution, or of raising the awareness of women's issues among women and in the media, but a combination of all of these which enhanced the impact of any one of them. Without the research component, it would have been difficult for those lobbying for constitutional changes to proclaim to speak on behalf of all women in South Africa. Without the lobbying, the impact of the research would have been limited.

### **Inputs**

There was considerable IDRC support to the WNC up front which helped the project to succeed and gave IDRC high visibility in South Africa. IDRC was the first donor to get involved in the project and encouraged other donors, both internal and external to South Africa, to donate funds. A Donor Conference was funded in 1992 to attract this support. The IDRC Gender Specialist came to South Africa and helped WNC to design the research. After the project was initiated, IDRC stepped back.

In monetary terms, IDRC approved \$500,000 for the research component. The funds were used as follows:

Research Costs	\$274,025
Processing	\$ 37,076
Publication	\$ 84,746
Report Back & Dissemination of Information	
- National Conference	\$ 74,153
Evaluation	<u>\$ 30,000</u>
Total	\$500,000

Source: Project Summary

Considering the risks inherent in the project, the funding was provided in small allocations rather than large grants. Other donors to the research were Match International and the Canadian Embassy, but IDRC's support accounted for 60% of the total. Other donors to WNC included other embassies and NGO's, private companies, international organisations, and financial institutions - for a total of 30 donors. The ICT inputs were computers, faxes and telephones for the national and regional offices.

### *Conclusion*

The inputs were considered to be adequate by WNC, the only problem being the timing of the availability of the funds. Because of administrative shortcomings within the WNC, it was not always possible to secure the funding which had been committed in time to carry out the activities which were planned. As a result, the scope of the research was reduced - the training of focus group facilitators was shortened and the number of focus groups was reduced.

It is questionable, however, whether WNC would have had the capacity to carry out all of the activities which were originally planned, even if the funds had been available. For example, a total of 1200 focus groups were initially planned and 258 were actually carried out. The level of organisation required to carry out the original number would have been enormous within the South African social, political and cultural context, the geographic diversity, and the inadequate communications and transportation infrastructure.

### **Activities**

The overall project consisted of a Charter Campaign and a Research Process. The two were merged part way through the exercise and it is therefore difficult to talk about the one without addressing the other.

The Charter Campaign was launched on March 9, 1993 - International Women's Day. It began with a Five Issues campaign whereby regional coalitions and participating organisations submitted a list of five issues which most affected their lives. Each month a separate issue was selected to become the focus of an information and education campaign. The five areas were: Women and Legal Resources, Women and Land Resources, Women and Violence, Women and Health, and Women and Work.

The Research Process began with a mapping exercise using several sources of census data in order to discover the proportional distribution of the female population in South Africa according to geographic location, colour, age distribution, urban/rural distribution, language breakdown, educational level and economic status. Diverse research methodologies were then used to include as

many women from diverse communities as possible. These included conventional social science methods as well as dynamic participatory or action research methods and campaign oriented activities. As a result, the outcome of the research was uneven and not always scientifically rigorous, but women were engaged in the research in new and dynamic ways.

The Five Issues from the Campaign formed the basis of questions to be posed in focus groups and on questionnaires. 258 focus groups were conducted. An initial 50 were conducted by a consultancy among unorganised women to test the tools. A further 208 were conducted by WNC among organised and unorganised women.

Community-based women were selected by their regional coalitions and trained to conduct the focus groups. The training took place in October 1993 over a three-day period. In the focus groups, women were encouraged to talk about their lives, the injustices they suffered, and their dreams for the future. The facilitators introduced a number of issues to stimulate discussion and most of the discussions were taped and notes produced. The tapes and notes were sent to the national office for processing by twenty-eight research interns.

A test of the findings was carried out by a market research firm from February to March 1994. 2439 households including men and women were interviewed and responses sought to 36 statements based on the frequent demands women had made. The results confirmed the findings from the focus groups and other methods.

Six questionnaires were also produced and distributed covering the Five Issues, plus women in church groups. 1241 questionnaires were completed. A chain letter was distributed through participating national organisations and regional coalitions to elicit comments on the three most important changes that women would like to see. A total of 373 chainletters were submitted. Sixteen groups totalling 105 women were brought together at a community level in order to fill in a community report card relating to the natural environment, political systems, social priorities, and human development.

## **5.2 PROJECT OUTCOMES**

### **Outputs**

The research led to an interim report in December 1993 which was a descriptive analysis of an initial 153 focus groups run by WNC. Executive summaries were distributed to the regions and participating organisations, and copies were presented to each of the political parties who were participants in the Coalition. A group of four women within the coalition took the results of the research in the

interim report and used it to draft the Women's Charter for Effective Equality.

The Women's Charter was adopted at the National Convention of the WNC, February 25-27, 1994. A copy of the Charter was presented to President Nelson Mandela in August 1994 and officially launched at a meeting of 300 people including Ministers, other country representatives, heads of corporations, etc. The Charter sets out a programme for equality in all spheres of public and private life including the law and the administration of justice; the economy; education and training; development infrastructure and the environment; social services; political and civic life; family life and partnerships; custom, culture and religion; violence against women; health; and the media. It was produced in 11 languages and popularised in a comic book called "Breaking Our Silence". Thousands of copies were distributed and it has been reprinted.

A final research report was produced in October 1994 consisting of two volumes of findings and a summary report. The report reflected the diversity of women's experience in South Africa. The findings were presented by issue across the various research methods and included women's voices. In general, women felt their greatest need was for recognition and respect in the home and in the community. Many shared domestic, social and economic subordination, but the nature of the experience varied according to race, class, age and other variables. The report highlights a wide range of issues of importance to women, some of which relate to constitutional questions and the need for legal reforms; others to political, social and economic policy; and many to civil society.

The final research report was disseminated through regional conferences and was to be fed back to the participants in the focus groups through the regional coalitions. Several hundred copies were distributed to the President, the Premiers, national member organisations, and regional coalitions. For women, the most accessible documents are the Charter and the comic which was produced. Members of the Coalition presented the findings and the Charter to conferences in Africa and North America.

There were limitations on the research methods and the data which are recognised in the report. The focus groups were not scientifically random nor representative but a cross-tabulation was done based on the mapping exercise and the sample was found to be fairly representative. Shortcomings were compensated for by holding additional focus groups, and by conducting a random and representative sample through the market research company. The focus group facilitators were inadequately trained given the shortened period of training time; they were not adequately supervised; notes and/or tapes were often inadequate; and there was insufficient information on the composition of the focus groups.

The utility of the questionnaires was compromised by functional illiteracy, there was a bias to educated women, demographic data was incomplete, and not all regions were well represented. The chainletter responses were not informed by demographic data and there was confusion about what was expected. Coverage was also limited. On the other hand, the different methods reached a wide number of women and gave them an opportunity to voice their concerns - which was considered to be the main objective.

The research findings were predictable and largely qualitative, but the process was unique. No other country had done a similar exercise - i.e. a massive campaign, influencing the constitutional process in a volatile period with an ambitious program which actually reached the grassroots.

### **Reach**

The Women's National Coalition estimates that they reached 2 million women, men and children in South Africa through the Charter Campaign, the media campaign, and the research process. Women were involved in the design of the project, in its implementation, and in the review of the results and utilisation. The number reached through the research process includes close to 2000 women who participated in focus groups, about 1000 who participated in questionnaires, 105 who participated in community report card groups, 373 who participated in the chainletter, and 1220 who participated in the market research survey. The women who potentially benefited from enshrining women's rights in the constitution include all women in South Africa.

Women directly involved in the Coalition include, with some overlap:

- 20 office bearers and the Steering Committee
- 20 members of staff
- 2 Research Managers
- 10 members of the Research Supervisory Group
- 8 members of the Focus Group Discussion Sub-group
- 11 members of the Legal Working Group
- 8 members of the Focus Group Training Group
- 69 focus group facilitators
- 23 key informants
- 22 student interns
- 7 focus group analysts
- The Qualitative Consultancy
- 2 evaluators

The member organisations affected were ultimately 92 national organisations and 13 regional coalitions. These members were involved in idea identification,



design, implementation, review of the results, and utilisation. There were problems which impeded the reach of the Coalition among its membership - conflicts between regional and national agenda, difficulties in communication, the perception that the Coalition's work added rather than enhanced the members' work, the lack of additional funding for the membership to carry out Coalition activities, and insufficient time and planning.

### **Impact**

The major policy impact in terms of the research was on the constitution. The Multiparty Negotiation Process was monitored by the Coalition in order to campaign against formulations that would marginalise or exclude women. Reports were prepared to explain the more complex issues under discussion to be used by participating organisations. For those who were involved in the negotiations, the Charter and the research provided them with legitimacy when they claimed to speak on behalf of women in South Africa.

The Interim Constitution of 1993 outlined Fundamental Rights (Chapter 3) which include the right not to be discriminated against on the basis of gender (Section 8). It also provided for the creation of a Commission on Gender Issues to promote gender equality and to advise and make recommendations to Parliament or any other legislature on any laws or proposed legislation which affects gender equality and the status of women.

One important issue which came under debate was the issue of customary law. Through persistent campaigning and lobbying by the WNC, amongst others, against the view of traditional leaders, customary law (where married women are considered as minors) was not exempt from the Bill of Rights. There was a diversity of views within the Coalition, but the Council decided that the WNC should advocate the view that equality is indivisible, should apply equally to all women, and should supersede custom.

The Constitution is also phrased in gender-neutral language. Originally the drafters preferred to use the male gender (he/him/his) with a note that it also applied to the female gender. The WNC pointed out that the female gender could equally be used with a note regarding male gender, and gender neutral language (he/she, him/her, his/hers) was used thereafter.

The Interim Constitution provided for the establishment of a Constitutional Assembly comprised of the National Assembly and the Senate to draft a new constitution. This new Constitution was adopted on 8 May 1996. It includes a Bill of Rights which includes gender equity and opposes unfair discrimination. The issue of customary law was again raised, but squashed. The Constitution also recognises the right to bodily and psychological integrity, which includes the

right to make decisions concerning reproduction (Section 12, Chapter 2). In the view of the evaluator, however, this addition in the final Constitution was more the result of the ANC's position on abortion, rather than an outcome of the research or the Charter because the views of women on this subject were very divergent in the research report. The WNC now intends to embark on a campaign to have the Charter enshrined in the Constitution.

Within South Africa today, the Charter, the constitution, and the Reconstruction and Development Programme form the framework for gender equity. Internationally, CEDAW and the Beijing Platform of Action provide the framework. CEDAW was signed by the new government without reservation in December 1995 and implementation is monitored by Parliament. A Family Violence Act to reform the justice system is being revised with the input of a number of members of the Coalition, and outside. WNC is called upon regularly to provide an input into various Green and White Papers in a number of sectors.

National machinery has been put in place for the advancement of women within and outside of government (refer to Appendix 1). This includes an Office of the Status of Women in the Office of the President, under which come gender units in the line departments. It also includes the Women's Caucus within Parliament. An independent body, the Commission for Gender Equality, was created to monitor and review gender policies of all publicly funded bodies; carry out advocacy, information and education; review legislation to ensure that it promotes the equality of women; recommend new legislation; investigate complaints; and monitor/report on compliance with International Conventions. What remains is the adoption of a National Gender Policy to integrate gender into all government policy, planning and activities.

In terms of public policy formulation since the adoption of the Constitution, the major impact has probably been the movement of a number of women involved with the Coalition into government and Parliament. Dr Frene Ginwala who was one of the Co-Convenors of the Coalition is now Speaker in Parliament. Pregs Govender who was the Project Manager, moved on to put the Reconstruction and Development Programme through a gender lens, and was then elected as a Member of Parliament. She chairs a parliamentary committee which has reviewed South Africa's progress in terms of adhering to CEDAW and which is behind the Women's Budget Initiative.

The first Research Coordinator, Debbie Budlender, works for the Community Agency for Social Enquiry, was a member of the Lund Committee on Child and Family Support, and is the coordinator of the Women's Budget Initiative. The Women's Budget is a joint initiative of members of parliament and provincial legislatures, a group of NGO's, several academics and other individuals, and is designed to review and realign government budgets from a gender perspective.

The second Research Coordinator, Stoncie Lebethe, moved on to work for the Constitutional Assembly. Dr Jean Triegaardt, who was one of the evaluators, is now Director of Social Security, responsible for implementing changes to the parent and child support system to make it more equitable. Dr Ellen Kornegay, who was the other evaluator, now heads up the Office on the Status of Women.

In terms of raising public awareness about gender issues, the Charter campaign and the associated research promoted debate on women's issues, gave women the opportunity to act together to begin to change their lives, unified women within and outside the established organisational structures, and resulted in an important political document and symbol of women's empowerment. It now remains to popularise the Charter and carry it forward. In the words of the Chief Executive Officer of the WNC: "The easy part was developing the Charter and putting it into the Constitution. The hard part is translating it into policy and implementation including costs and budgets."

The WNC has struggled to redefine itself since accomplishing its original purpose. It was affected by the departure of management and staff to other positions, and went through a series of directors. Its current membership stands at about 200, out of a potential 2000 women's organisations in South Africa. National staff have been reduced to eight people, and only three regional offices remain.

A National Conference was held in May 1997 where it was agreed that the Office of the Status of Women, the Gender Commission and the WNC would develop a strategic plan on how to use the Charter as a tool to promote good governance and gender equity. Research will be done by the Gender Commission and WNC, with WNC focusing on the gender analysis of statistical data using resources from three universities and the Human Sciences Research Council. A gender audit is to be conducted to compile research, publications and expertise in different sectors and the resulting database may be housed in the WNC.

The least impact of the project was on WNC's membership organisations. Some have used the Charter and other outputs from the Coalition in their own campaigns, but most were not strengthened by the process, particularly at the regional and local levels. If more time had been available, there should have been more consultation and involvement of the membership in order to build a stronger coalition.

## *Conclusion*

It is difficult to link policy impacts in gender equity directly to the WNC. Even at the time, WNC was part of a broader movement on gender equality - internationally and nationally. Translation into policy could only come when people got into government. Direct improvements in the position of women, i.e. increased access to water, public health care, freedom of choice regarding abortion, etc., were more related to the attitude of government than to the Charter.

The impact was more at the grassroots level in terms of raising awareness about women's issues. The outcome of this in terms of individual and collective initiatives has not been measured.

The key factors which contributed to the success of the project were:

- the individuals involved,
- the context within which they were working
- the short timeframe which fostered unity where divisiveness could have prevailed
- the process which was used - participatory research aligned with a lobbying process, triangulation of data, wide consultations, involvement of all major parties and organisations, etc.

The factors which inhibited greater impact and reach were:

- delays in start up
- the short timeframe which did not allow for building up the membership and the coalition
- the highly charged context which exacerbated already-existing tensions.

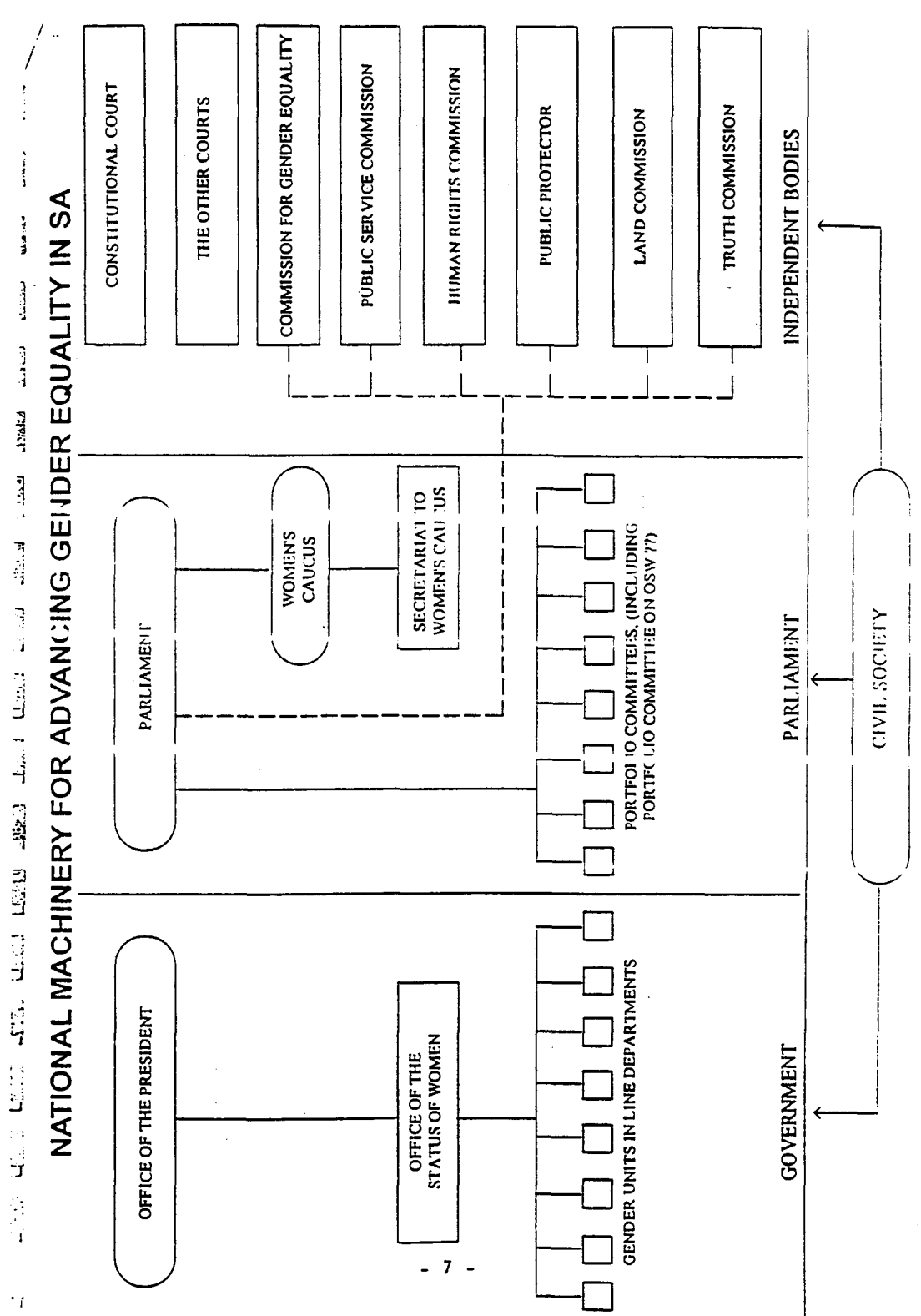
### **5.3 ENHANCEMENT OF OUTCOMES**

The research which was conducted by the WNC could be updated, particularly with the latest census information in South Africa; and could be made more quantitative in order to be useful to policymakers. Information, education and communication could be carried out to inform women of their rights and how to enforce them. At the policy level, further work could be done on a national gender policy and related programmes. Certain issues could also be further addressed such as violence against women; changes in the justice system; mobilising communities to create a different environment; and changes in the curriculum - to name a few.

### Summary of Reach and Impact

Potential Beneficiary/User	Impact Area	Nature of Impact	Actual Extent Benefited/ Affected	Potential for Future Benefit
Women in South Africa Men and children	Knowledge  Public good	Increased awareness of gender issues.  Empowerment of women.	High - estimated 2 million people affected by research and Charter Campaign of WNC. Further impact on total female population in terms of enshrining gender equality in the Constitution.	High - through promotion and enforcement of Constitution and Charter.
Participants in research process	Knowledge	Increased awareness of their own needs, common problems and joint solutions.	High - estimated 3-5,000 reach directly through various research methodologies	None - no follow up through WNC.
Women's National Coalition	Capacity building	Increased capacity to conduct research and lobbying.	Low - lack of continuity after completion of the project and departure of key individuals within the Coalition.	Low - WNC capacity will be developed as a result of other initiatives. A few people who were involved in project remain involved to assist WNC.
Individual office bearers, staff members and volunteers	Knowledge Capacity building	Increased awareness of gender issues. Increased research and legal skills.	High - about 200 individuals participated in the research and Charter campaign process.	High - indirectly through application to other issues/within other organisations
Member organisations and regional coalitions	Knowledge Capacity building	Increased awareness of gender issues. IEC material for programme activities.	Medium - for national organisations (92) Low - for regional coalitions (13) of which only 3 remain.	Medium - Charter could be used as development tool within these organisations.
Cabinet, Parliament, the bureaucracy	Knowledge Policy formulation	Increased awareness of gender issues. Gender-sensitive legislation and policies.	Medium - primarily through the continued involvement of WNC members in key positions. Major policies still to be formulated.	Medium - Charter and research provide a foundation, further policies/programmes needed.

# NATIONAL MACHINERY FOR ADVANCING GENDER EQUALITY IN SOUTH AFRICA



LIST OF DOCUMENTS REVIEWED

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"Handbook on National Machinery for Advancing Gender Equality and Issues for Discussion in the Establishment of Provincial Machinery", Prepared by the Centre for Applied Legal Studies and Commonwealth Secretariat for the Department of Welfare and Population Development.

The Origins, History and Process of the Women's National Coalition: Summary Report of the Women's National Coalition Research, WNC, October 1994.

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"Project Summary", IDRC, February 15, 1993.

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The Women's Budget, Edited by Debbie Budlender, Idasa, 1996

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**LIST OF PEOPLE INTERVIEWED**

Debbie Budlender  
CASE  
(Original Research Coordinator)

Dr Frene Ginwala  
Speaker of Parliament  
(Co-Convenor of Women's National Coalition)

Pregs Govender, M.P.  
Chairperson of the Joint Standing Committee on Finance:  
Gender and Economic Policy Group  
(Project Manager for WNC)

Anne Letsebe  
School of Social Work  
University of Witwatersrand  
(Co-Convenor of Women's National Coalition)

Mohau Pheko  
Chief Executive Officer  
Women's National Coalition

Dr Sheila Meintjies  
Professor in Political Science  
University of the Witwatersrand  
(Research Advisory Committee Coordinator)

Nigel Motts  
Program Officer  
IDRC-ROSA

Dr Jean Triegaardt  
Director, Social Security  
Department of Social Welfare  
(one of two evaluators)

Marc Van Ameringen  
Director  
IDRC-ROSA

## **6.0 INDUSTRIAL STRATEGY PROJECT, PHASE I (SOUTH AFRICA) PROJECT NO. 91-0036**

### **6.1 PROJECT DESCRIPTION**

This project provided support to an economics policy research unit at the University of Cape Town to conduct research into different industrial sectors and cross-sectoral issues; to provide training to black researchers and potential policymakers in labour unions and the African National Congress (ANC); and to develop an industrial strategy for South Africa. Initial studies were completed under Phase I from 1992 to 1993 and a synthesis report produced outlining proposed policy and institutional changes for an industrial strategy. Further studies are being undertaken in a second phase which is still underway. The focus of this evaluation will therefore be on the first phase.

The key issues for the evaluation were:

- What policies, strategies, legislation, and programmes have resulted?
- What has been the impact in terms of strengthening the analytical and policymaking capacity of the labour unions involved, the ANC, government departments after the election, and industrial institutions?
- What has been the impact in terms of developing a cadre of black economic researchers in South Africa?

#### **Context**

Since the 1980's, the manufacturing industry in South Africa had experienced declining growth rates and high unemployment. Inwardly focused, it had been protected and subsidised by the government, human resource development was low, and hierarchical control high. By the early 90's, business was beginning to look at competitiveness and the problems and policies related to it. The government had also commissioned research on trade policies through the Industrial Development Corporation (IDC). But no one was carrying out broad-based research leading to an industrial strategy. There were few organisations or even individuals with experience in the issue, particularly from a policy perspective. The Afrikaans universities had experience, but their work was tainted by their association with the apartheid government.

Prior to 1990, the Congress of South African Trade Unions (COSATU) had already begun to develop a more strategic vision and commission research related to sanctions and economic policy. Their stance was beginning to move from resistance to more constructive dialogue, based on policy options. As a natural progression, COSATU then requested the Economic Trends Research Group (ETRG) - a group of academics carrying out research for the democratic

movement in South Africa - to carry out work on an industrial strategy. With its unbanning, the ANC joined the project.

The Development Policy Research Unit (DPRU) at the University of Cape Town provided an administrative home for the ETRG. It had not undertaken any large policy research projects prior to the ISP. Subsequently it became involved in a number of projects on trade and industrial policy - the second phase of the ISP, the Trade Policy Monitoring Project, Science and Technology Policy Research Centre - and was the host institution for the management of the Presidential Commission on Labour Market Policy and coordination of the Green Paper on Science and Technology Policy.

During the course of the project the general political environment was highly charged with internal fights in the ANC over economic policy, labour strife and walkouts, and the murder of Chris Hani. All of these affected those involved with the ISP, but the project still managed to keep on track. With the change in government, the political environment became much more receptive to the sorts of policy initiatives which the ISP represented, and individuals who had worked in or with the project moved into positions of power and influence within the government.

### *Conclusion*

The ISP was favoured by an environment which enabled it to work constructively with the labour unions and the ANC, and to see the results of their work taken up by government and other fora. The DPRU as an institution grew through the experience into a major policy research centre.

### **Objectives**

The objectives of the first phase were:

- To provide a knowledge base relevant to the formulation of an industrial strategy for a post-apartheid South Africa.
- To explore feasible policy alternatives.
- To develop relevant policy-related research skills among young black researchers and potential policymakers.

### *Conclusion*

The first two objectives were achieved. The knowledge base related to the different sectors studied, and to the cross-sectoral issues, was expanded considerably through the research which was undertaken. Policy alternatives were outlined in the summary report covering a number of different aspects of

industrial policy. The third objective had limited success because the training programme took second place to the research programme, was not allocated sufficient time and resources by the managers of the project, and was not given sufficient emphasis by the participating unions and the ANC.

### **Strategy**

The strategy was to carry out sector-specific and cross-sectoral research on manufacturing in South Africa and to synthesise it into an industrial strategy. This was based on the recognition that international competitiveness is often determined not only by firm-specific attributes, but also by sectoral determinants, and that cross-sectoral studies were needed in order to provide a certain contextual analysis. COSATU and the ANC were to be involved in designing the research and reviewing the results, and researchers from these organisations were to be seconded to the research unit for training.

The strategy was consistent with the views of the unions, the ANC, the ETRG, the Institute of Development Studies (IDS) at the University of Sussex, and IDRC. The unions and the ANC had already begun work on macro-economic policies and the industrial strategy was a natural progression of that work. The ETRG were also interested in getting involved in longer-term, more policy-oriented projects. The IDS, through Raphael Kaplinsky, a former South African in exile, had done a series of industrial strategies for other countries and was interested in doing similar work for South Africa. IDRC's programme in South Africa was in support of the democratic movement and included support for the earlier Macro-Economics Research Group.

### *Conclusion*

An alternative research approach could have been taken, but the sectoral approach is accepted and applied internationally. The business community could have been brought into the process more at the outset, but this might have jeopardised the connections and network which was built up with the labour unions and the ANC which eventually led into connections with the current government. Business has subsequently become more involved in the second phase.

### **Inputs**

IDRC approved \$350 000 for the Industrial Strategy Project as a contribution to the following total costs:

Salaries and allowances	\$ 800,000
Research costs	\$ 241,750
Support services	\$ 65,910
Meetings	\$ 70,580
Publication	<u>\$ 23,810</u>
Total	\$1,202,050

Source: Project Summary

HIVOS and the Olaf Palme Foundation subsequently came in as a result of IDRC's commitment.

IDRC's contribution to the project was significant throughout its history. It facilitated contact with Canadians and other international experts and brought in knowledge about similar work in Latin America and the rest of Africa. John Loxley and Gerald Helleiner were part of the IDRC-funded economic mission to South Africa and stayed engaged with the ISP. Presentations of the ISP results were made in Canada and IDRC has continued to support the work of the DPRU. As the only research organisation of the three donors, IDRC's technical as well as financial input was appreciated.

The ISP also benefited from the terms under which the donor funds were provided. They had one year in which to plan the research methodology, and two years in which to carry out the research, as well as sufficient funds to send the researchers on study tours abroad. All of the researchers interviewed mentioned the international contacts and study tours as a key factor in the success of the project.

### Activities

Sector-specific studies were carried out in the following sectors: building material supply, clothing, motor vehicle assembly and components, mineral beneficiation, pulp and paper, textile, household electrical durables, electrical distribution equipment and professional electronics, commodity plastics filiere, microenterprises, footwear, food processing and beverage, and engineering. The sectors were selected and defined on the basis of discussions within and outside of South Africa, including with the trade unions.

The research methodology used was largely based on that developed at IDS in which the changing global determinants of competitiveness are compared with the existing structure of the domestic industry. A pilot study of a number of firms in each sector was undertaken, then a study tour abroad in order to collect comparative data. Detailed field work was then done consisting of visits to all of the major producers, and interviews with trade unions, industry observers, consumer organisations, and other relevant groups and individuals. The case study was written up and policy recommendations identified.

Cross-sectoral studies were undertaken on trade policy, technology policy, alternative forms of ownership, industrial relations, and regional industrial development policy. These studies used different methodologies and were of shorter duration.

Researchers were recruited through an advertisement and selected by a committee of the co-directors, academics, union officials and the ANC. In some cases there was only one suitable candidate. Most had not already been involved in the sector they studied. Some had a union background, involvement in the ANC, or had worked for the Economic Trends Research Group. Many had studied at IDS.

Trainees were seconded from the trade unions and the ANC. A total of six trainees were nominated to work for a period of one year. Two were from the National Union of Metalworkers of South Africa (NUMSA), one from the South African Clothing and Textile Workers Union (SACTWU), one from the National Union of Mineworkers (NUM), one from COSATU, and one from the ANC Western Cape region. They collected facts and figures, company statistics, set up and accompanied researchers to interviews, analysed statistical information, read and evaluated secondary literature, and became familiar with international trends in the sector. Their work was coordinated by the co-directors and they were assigned to a specific researcher for certain periods of time.

Regular meetings were held with the group to discuss work in progress and findings to date. Interim reports were produced and presented and discussed at workshops with representatives from COSATU, its affiliates and the ANC Department of Economics.

The project was managed by four co-directors who had links with the ETRG - David Lewis who became the effective project manager and did the research on forms of ownership; Raphael Kaplinsky who provided input on the research methodology and international contacts; David Kaplan who did the research on technology; and Avril Joffe who provided input on the human resource development side, as well as coordinating the trainees' programme and providing a link to the unions.

## **6.2 PROJECT OUTCOMES**

### **Outputs**

Twelve sectoral reports and five cross-sectoral reports were produced. Eight of the sectoral reports were published - the remainder were considered to require some further work before they could be published but are available as monographs. Copies of the reports were provided to COSATU and the relevant affiliates; presentations were made to a number of the unions and in some cases employers; and they became part of tripartite restructuring fora in some sectors (refer to Appendix 1 for a detailed list of the dissemination and impact of sectoral and cross-sectoral studies).

A Synthesis Report ("Industrial Strategy Project - 1993") was also produced which reviewed manufacturing performance, proposed objectives and strategies, and provided a framework for an industrial strategy. Successive versions were presented to seminars of ISP researchers, the COSATU and ANC leadership, and abroad. Seven or eight major presentations were also made to business.

On completion of the project, a book entitled Improving Manufacturing Performance in South Africa: Report of the Industrial Strategy Project was published in 1995 by UCT Press and IDRC. Following is a brief summary:

#### *Objectives*

- employment creation
- increased investment
- increased productivity
- improved trade performance
- with increased productivity as the centrepiece.

#### *Strategies*

- industrial specialisation and movement up the value chain
- beneficiation of natural resources
- targeting of key capabilities
- empowerment of the workforce.

#### *Industrial Policy Framework*

- fostering the role of market incentives
- strengthening underlying capabilities in human resources and technology
- providing an appropriate institutional environment to facilitate industrial restructuring

#### *Trade Policy Framework*

- tariff policy
- export support
- exchange rates

#### *Industrial Structure*

- market structure
- corporate governance
- small and medium scale and microenterprise

#### *Human Resource Development and Workplace Organisation*

- wage-skill nexus
- cooperation and skills in the development of work organisation
- democratic principles in the workplace

#### *Enhancing Technological Capability*

The book and 13 studies were launched at a Press Conference at Parliament by the then Minister of Trade and Industry, Trevor Manuel. Considerable media coverage was generated. Distribution figures for the book and the nine reports which were published are not available, but it is estimated by the DPRU that over 1 000 copies of the book were sold, with a reprint being considered, and 150 to 250 of each of the reports were sold, depending on the sector. The ISP itself distributed copies to business, labour, university libraries, etc. IDRC has distributed the book internationally. Several of the researchers and the co-directors used the research work to write articles for the popular media and scholarly journals. Presentations were requested by the Department of Trade and Industry, the Ministry in the Office of the President responsible for the Reconstruction and Development Programme (RDP), the Department of Labour, Cabinet, the National Economic Development and Labour Council (NEDLAC), employers' associations and corporate boards.

The Trade Union Research Project (TURP) at the University of Natal was commissioned to write a popularised version of four of the sector reports for use by the unions in their training. The sectors covered were automotive, household electrical durables, pulp and paper, and the engineering industry. Five hundred copies of each was produced. The publication defines the industry, its structure, the global environment, the problems, the possibilities, and the ISP proposals for restructuring.

One of the major criticisms of the ISP research, both from within and outside, is that different audiences were not adequately reached - despite the publication and dissemination outlined above. The Department of Trade and Industry was overlooked although this is now being rectified; dissemination to labour did not adequately reach the shop floor; business did not become engaged in a dialogue on the results, etc. In hindsight, more time and resources were required, including marketing capacity within the project. The publishers, UCT Press, were not suitable for the marketing of a more commercial and less academic publication.

The quality of the research was mixed, but generally good and well-received. The human resource development and technology issues were not considered to have been adequately addressed in the sectoral studies, but these are being researched further in the second phase. There were difficulties accessing data from IDC and the Central Statistical Service, and the sectoral data was unreliable. Most of the studies are still relevant today or would provide a good background to the sectors and issues. Compared to government-commissioned studies, the ISP studies were done very cheaply - 12 for R3 million, whereas one Cluster Study cost R1 million<sup>2</sup>.

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2 Industrial Cluster Studies were commissioned in 1993 by the Department of Trade and Industry and conducted by the Monitor Group of Boston.



The researchers received training in a three-week workshop at the beginning of the research on international trends in trade and industrial output, the role of the state in industrialisation, micro-level restructuring including new manufacturing techniques, work organisations, methods to assess the firm, meso level restructuring including ownership issues, other country experience, and South African business perspectives. The training was delivered by the co-directors.

One-week workshops were held in July and November 1992 for the researchers, trainees, representatives from COSATU and its affiliates and the ANC, and invited guests from abroad. The researchers presented their work in progress which was critically evaluated, insights and problems were shared, and international expertise incorporated and diffused. Small group meetings were held in January 1993 with the project co-directors and Professor Sam Bowles from the United States to discuss drafts of the final reports.

The trainees were given access to University of Witwatersrand or UCT resources including computers; relevant course components of various departments; and workshops on writing skills, interviewing skills and presentation skills. They attended the initial training programme in January 1992 and specially-designed workshops in May, July and December 1992 to review the objectives of the training programme, discuss progress reports of research work undertaken, develop the framework for their overseas trips, present their final research papers, and evaluate the training programme.

Some of the difficulties of the training programme for the trainees were that they had ongoing union-related activities to perform in addition to their research; the researchers were not experienced in on-the-job training and had their own research commitments; the trainees came from varied educational backgrounds and some found it difficult to manage their own training rather than having a structured training programme. The Cape Town and Durban trainees were relatively isolated from the others in Johannesburg who could meet together frequently and had more direct contact with the co-director responsible for their programme. The co-director had a full-time job commitment for the first year of the project and her own research program under the project.

### **Reach**

COSATU and its affiliates and the ANC were involved from the initiation through to delivery of the project. COSATU received verbal and written briefings and presentations of the work in progress. Its affiliates were also involved and received training and information through presentations and workshops at various levels from the leadership to the shop floor. Trainees were nominated from four of the unions. The ANC also nominated a trainee, and researchers regularly participated in ANC policy seminars and working groups, particularly in the area of trade policy, competition policy and technology policy.

Twenty-five researchers and trainees were involved directly in the research, including the four co-directors. Other researchers from within and outside of South Africa were involved in reviewing the results of the research.

The users of the research include the trade unions, government departments of trade and industry and labour, the business community, NEDLAC, industrial institutions like the IDC, management consultancies, donor agencies like the World Bank, academics and students.

## **Impact**

### *Policy Formulation*

The policy impact of the ISP is difficult to assess. It is considered by those in government, business and labour to have led to a change in mind and in attitudes more than directly to changes in policy. Other factors also had an influence on policy changes at the time - global developments in trade, international thinking on industrial strategy.

In terms of the government, the ISP provided a broad direction of what an industrial strategy is, what the issues related to it are, and what the options to address those issues could be. It gave the Department of Trade and Industry (DTI) a coherent policy approach - integrating trade, industry, investment, and competition policies. An industrial strategy has not been developed, but the Department is working towards an industrial vision. The greatest potential impact on policy, however, has probably been the movement of ISP researchers into the Department or related institutions.

The ISP also gave DTI a sectoral approach - the Department is now structured by sectors and has commissioned work on industrial clusters. In 1993 funds were provided for a series of cluster studies on competitiveness undertaken by the Monitor Group from Boston using Michael Porter's five forces analysis. The ISP reports provided a useful starting point for the Group since it was newly entering the country. When NEDLAC was formed, Japanese grant funds were provided and further sectoral and sub-sectoral studies were commissioned through a number of consultancy firms.

In terms of trade policy, the ISP influenced the trade negotiations in GATT and the ISP trade policy study became part of DTI's agenda, followed up through the Trade and Industrial Policy Secretariat funded by IDRC. The study also had some influence on restructuring export promotion. In terms of competition, policy formulation is still underway. In terms of science and technology, the ISP study and the continued involvement of David Kaplan in the issue fed directly into the development of the Science and Technology White Paper.

The Department of Labour was less influenced by the ISP although the research did form the basis of various discussions and policies in government on labour market flexibility, human resource training, multiskilling, etc. Three of the ISP

researchers participated on the Presidential Commission of Enquiry on Labour Market Policy which produced a comprehensive labour market policy in June 1996 linking labour, macroeconomics, and industrial policy.

On the human resource development side of the Department, a Workplace Challenge initiative has been launched with DTI to train management and workers to respond to restructuring at the industry, company and enterprise level - a proposal which was in the final ISP report. DOL is in the process of updating studies and developing industry-wide training plans; training has already been provided in the clothing sector; and training is to be provided in the motor industry sector, involving the ISP researchers.

In terms of the labour unions, when the process was started they were inwardly oriented and nationalistic. The ISP introduced notions of competitiveness and productivity to the unions within a concept of workplace participation. The DPRU was able to challenge the sacred cows of the labour unions and the ANC because of its connections and its independence. COSATU did not adopt the ISP as their policy at the end, however, because they had problems with certain recommendations which had implications for their membership. Further policy work in COSATU has been ad hoc and mostly in response to the work of NEDLAC. Within the affiliates of COSATU, there was a mixed impact depending on how closely the unions were involved in the sectoral study of their sector - the closer the link, the further the impact. The policy initiatives of these unions tended to be more specific - textile tariffs, liquid fuel prices, etc.

The business community, as represented by the South African Chamber of Business (SACOB) - an affiliation of twelve industrial and trade sectors - had commissioned their own study on international competitiveness of manufacturing sectors prior to 1991. The study was to lead to the development of policy options. At this stage, the industrial policy committee of SACOB made contact with the ISP and several presentations to this committee were made. There was a fair amount of overlap between the views of business and what was coming out of the ISP. The major sticking points were the focus on industrial clusters - which business feared would lead to sector-specific incentives that would favour one sector over another - and management-labour relations. Many businesses also regarded the ISP as labour's research arm. In the end, a business industrial policy was not articulated, and efforts became focused on tripartite negotiations in the National Economic Forum, which was eventually replaced by NEDLAC. Within individual business sectors, the impact of the ISP on policy formulation was mixed - as with the labour unions - with the textile industry, the automotive industry and the pulp and paper industry being the most active.

In 1990, the Industrial Development Corporation (IDC) was asked by the previous government to review protection policy in South Africa. A literature review on trade and industrial policy making was carried out, World Bank research on tariffs was used, and statistics were gathered and analysed in order to come up with a structure of the trade system. The report which was produced recommended immediate removal of the surcharge, consolidation of tariffs and

reduction of protection. No government response was received. Subsequently the transitional government came in and IDC became involved in tripartite discussions on the Uruguay round of GATT which included ISP researchers. The ISP report was presented in IDC and received quite well, IDC's perspective was broadened, and the relationship between ISP and IDC continues today.

### *Capacity Building*

The ISP was intended to strengthen the capacity of the ANC and the labour movement. With the transition, the capacity within the ANC and the labour movement moved into government - of the ANC and COSATU personnel most closely linked to the project, four are cabinet ministers in important economic portfolios and a fifth is the Executive Director of the National Economic Development and Labour Council (NEDLAC). (Refer to Appendix 2 for a list of ISP personnel and their current positions.) Government was further strengthened by the fact that the Director General, Deputy Director General and two out of four Chief Directors in the Department of Trade and Industry are ISP alumni, as are the Special Advisers to the Minister of Trade and Industry, the Minister of Labour and the First Deputy President.

The ANC Department of Economics collapsed after the transition, and a policy unit is just being regenerated now under the guidance of the Minister of Labour. COSATU created a labour and economic policy unit, Naledi, in 1993, but the unit was not involved in industrial policy, relying on the ISP instead. COSATU lost many people to the provincial governments as well, but a fair core of research and economic expertise still remains within the union. Capacity building within the affiliates was limited because most of the trainees did not remain with their unions - the exception being the trainee from the pulp and paper union who is now General Secretary. Ongoing work by the researchers in certain of the affiliates did continue to strengthen them.

The capacity of the DPRU to manage and deliver large-scale policy research projects was enhanced through the project although it also lost staff to government.

The capacity of the individual researchers to do industrial research was increased enormously. They all learned a lot about their sector or issue, and learned about other sectors and issues from their colleagues at the regular meetings. They moved from being academics or activists to being policymakers. The ISP thus gave them the capacity to move into senior positions in government and elsewhere, and created a network of influential people with a similar view of industrial policy.

The capacity of the trainees was also increased, but to a more limited extent as a result of their backgrounds, the time they had to devote to the study, and the positions that they moved back into. One trainee from NUMSA returned to his union as a research officer, but subsequently got a better paying job a year later. The ANC nominee became Speaker in the North West Province.

## *Conclusion*

The ISP had a significant impact on policy in terms of changing attitudes and approaches to industrial policy within government, the trade unions, and business; and in terms of the individual researchers from ISP who moved into influential policymaking positions afterwards. This movement into government affected capacity building within the ANC and COSATU. The impact of the project will be further enhanced by the continuing involvement of the DPRU and individuals within the DPRU in policy formulation and implementation.

The key factors to the success of the project were:

- the leadership of the project who were a group of committed, dedicated, trusted, and intelligent individuals with strong connections to the democratic movement and internationally. These individuals were more of a key than the recipient institution - the DPRU - which initially was just an administrative shell and which even now consists of very few people.
- international connections in the project - the research methodology which came from IDS, the outside experts who participated in review meetings, the study tours which were undertaken, the involvement of IDRC - all served to open the participants up to the outside world in a way which had never been done before.
- the focus on the research process as much, or more, than the research output. This included keeping the Alliance involved and informed throughout, taking the time to develop the research methodology carefully, consulting widely, working as a team, etc.
- the changing South African context which brought the stakeholders of the project into power and the researchers into government.

The key factors which inhibited the impact relate to the training programme which should have been planned and executed separately, perhaps in conjunction with a number of other economic policy research projects which DPRU was implementing.

## **6.3 ENHANCEMENT OF OUTCOMES**

As with any other project, those involved wished that there had been more time and more funds available to polish the research in some cases, to disseminate it more broadly to government and business, to look at more sectors, or to look at sub-sectors. There is however a second phase of the project which can carry the research further. Consideration could also be given to updating and refining the Phase I studies, and carrying the work further into the service sector. As the DPRU says, "since industrial policy is a process rather than an event, there is always further policy work needed."!

The translation of research into policy is a time-consuming process, involving a new set of skills and approaches. It is the view of the evaluator that the ISP went as far as they could in terms of research, dissemination and discussion. The issues were taken up in a number of different trade and industrial fora where the impact is related more to the participation of individuals and organisations, rather than the availability of documents or studies.

### Summary of Reach and Impact

Potential Beneficiary/User	Impact Area	Nature of Impact	Actual Extent Benefited/ Affected	Potential for Future Benefit
Alliance members - COSATU, its affiliates, ANC	Knowledge Capacity building Policy formulation	Increased knowledge of industrial sectors and industrial strategy. Increased capacity to carry out research and formulate industrial strategy. Industrial strategies	High Low - in terms of sustained capacity because of movement out of key people. Medium - varies according to industrial sector	Medium - studies provide useful background Low - transfer of skills by few people remaining Low - little policy formulation being done.
Government	Knowledge Capacity building Policy formulation	Increased knowledge of industrial sectors and industrial strategy. Increased capacity to carry out research and formulate industrial strategy. Industrial strategies	High High Medium - process is still underway	Medium - studies provide useful background High - transfer of skills to others within Government High - as policies formulated.
Co-directors Researchers Trainees	Knowledge Capacity building	Increased knowledge of industrial sectors and industrial strategy. Increased capacity to carry out research and formulate industrial strategies.	High High for co-directors and researchers and 2-3 trainees Low for remaining trainees	Low - further work under Phase II High - as applied to other issues and Phase II
DPRU	Capacity building	Increased capacity to carry out research, formulate policy, and manage donor funds.	High - subsequently went on to further large research and policy projects.	High - as applied to other issues and Phase II
Others - business, NEDLAC, consulting firms, academics, donors, etc.	Knowledge	Increased knowledge of industrial sectors and industrial strategy.	High - comprehensive study, unique at the time in South Africa.	Medium - provide a background, need updating, other studies also available.

DISSEMINATION AND SUGGESTED IMPACT OF STUDIES

**Sectoral Studies**

*Building Material Supply Sector - Moses Ngoasheng*

Cartel in building materials and cement broken up

*Clothing Sector - Miriam Altman*

Presentation to leadership in union

Fed into tripartite restructuring forum

DTI-DOL initiative for training in clothing industry

*Motor Vehicle Assembly and Component Sector - Anthony Black*

Presentation to leadership in union, organisers, educators and shop stewards

TURP popularised version

Fed into tripartite motor industry task group which then fed into Motor Industry

Development Programme

Proposal for training to DOL

*Mineral Beneficiation Sector - Paul Jourdan*

Presentation to leadership in union, organisers, educators and shop stewards

*Pulp and Paper Section - Lael Bethlehem*

Presentation to union leadership

Presented to meeting of employers and unionists

TURP popularised version

*Textile Sector - Johann Maree*

Presentation to leadership in union

Presented to leading employers

Fed into tripartite restructuring forum

*Household Electrical Durables Sector - Ted Baumann*

Presentation to leadership in union, organisers, educators and shop stewards

TURP popularised version

*Electrical Distribution Equipment/Professional Electronics Sector - Richard Goode*

Presentation to leadership in union, organisers, educators and shop stewards

Fed into tripartite restructuring forum



*Commodity Plastics Filiere - Rod Crompton*

Presentation to union leadership

Workshop on the role of the union in management participative schemes to 50 shop stewards and organisers

*Footwear Subsector - Faizel Ismail*

*Microenterprise Sector - Claudia Manning*

*Engineering Sector - Zavareh Rustomjee*

Presentation to leadership in union, organisers, educators and shop stewards

TURP popularised version

*Food Processing and Beverage Sector - David Frost*

Presentation to leadership in union

Presented to leading employers

Directly responsible for formation of a tripartite forum on food price inflation

Workshop for 20 shop stewards, organisers and educators

**Cross-Sectoral Studies**

*Trade Policy for Industrial Growth - Alan Hirsch*

Supported COSATU's input at the National Economic Forum negotiations on South Africa's offer to GATT

Presented tariff policy to Parliamentary Portfolio Committee on Trade and Industry

*Regional Industrial Development Policy - Robin Bloch*

*Technology Policy - David Kaplan*

Presented to ANC leadership

Contributed to tripartite task force examining science and technology policy

Basis of Science and Technology White Paper

SPI incentive programme for innovation and technology renewal

*Industrial Relations - Avril Joffe*

Presented to COSATU

Presented to employer bodies

Subject of meeting of National Manpower Commission

*Ownership and Competition Policy - David Lewis*

Presented to a meeting of employers

Presented to joint ANC/COSATU/Business/Government seminar on competition policy in South Africa

Source: ISP Progress Reports and Final Report, Evaluator's Interviews.

**ISP PERSONNEL AND THEIR SUBSEQUENT  
INVOLVEMENT IN INDUSTRIAL POLICY\***

**Alliance**

*Alec Erwin*

Former Deputy Minister of Finance  
Minister of Trade and Industry

*Trevor Manuel*

Former Minister of Trade and Industry  
Minister of Finance

*Tito Mboweni*

Minister of Labour

*Jay Naidoo*

Former Minister of RDP  
Minister of Posts, Telecommunications and Broadcasting

*Jayendra Naidoo*

Director of NEDLAC

**Co-Directors**

*David Lewis*

Deputy Director DPRU  
Special Advisor to the Minister of Labour  
Chair of the Presidential Commission of Enquiry on Labour Market Policy  
Board of Directors of IDC  
Member Minister of Trade and Industry's Task Team on Competition Policy  
Director of NALEDI (COSATU-linked policy research division)

*David Kaplan*

Presidential Commission of Enquiry on Labour Market Policy

*Avril Joffe*

Director, Labour Market Alternatives - own consulting firm  
Won contract to develop a Cultural Industries Growth Strategy for the Department of Culture using same approach as ISP

*Raphael Kaplinsky*

Professor  
IDS, University of Sussex

## Researchers

### *Moses Ngoasheng - Building Materials and Supplies*

Economic Advisor to Deputy President Thabo Mbeki  
Presidential Commission of Inquiry on Labour Market Policy

### *Miriam Altman - Clothing*

Consultant/lecturer in clothing and textile sector

### *Anthony Black - Motor Vehicle Assembly and Components*

Senior Lecturer, Department of Economics, UCT  
Advisor to NUMSA in motor industry task group 1992-93  
Chair, Motor Industry Development Council  
Advisor to Government on Motor Industry Development Programme  
DOL training programme

### *Paul Jourdan - Mineral Beneficiation*

Former Special Adviser to the Minister of Trade and Industry  
Deputy Director General, Department of Trade and Industry

### *Lael Bethlehem - Pulp and Paper*

Naledi - as link to ISP and to develop position papers for NEDLAC negotiations  
Research Coordinator, NEDLAC

### *Johann Maree - Textile*

Consultant/lecturer in human resource development

### *Ted Baumann - Household Electrical Durables*

Unknown - presumed to have moved back to the United States

### *Richard Goode - Electrical Distribution Equipment and Professional Electronics*

Mineral and Energy Policy Centre

### *Rod Crompton - Commodity Plastics Filiere*

Director Chemical & Allied Industries, Department of Trade and Industry

### *Claudia Manning - Microenterprises*

Returned to Sussex to do a PhD  
Worked with DTI in formulation of small scale industry White Paper and Act on Small Business  
Currently Senior Specialist, Spatial Development Initiatives, Development Bank of Southern Africa  
Member of Board of Ntsika

### *Pinky Mashigo - Microenterprises*

European Union, South Africa  
Trainer/consultant on labour issues

*Faizel Ismail - Footwear*

Chief Director Trade Relations, Department of Trade and Industry

*Robin Bloch - Regional Industrial Development Policy*

Consultant on regional development - one of two drafting government urban policy strategy, participated in evaluation of regional industrial development program, in selection of spatial locations for tax incentive system, designed Sector Partnership Fund, one of co-ordinators in Phase II of ISP

Completed PhD at UCLA

Director, Policy & Research, Ntsika Enterprise Promotion Agency

*David Frost - Food Processing and Beverage*

Participant in tripartite forum on food price inflation

Worked for Food and Allied Workers Union

Joined Premer Milling Company

*Zavareh Rustomjee - Engineering*

Director General of Department of Trade and Industry

*Alan Hirsch - Trade Policy for Industrial Growth*

Chief Director, Industry and Technology Strategy

- \* This list is indicative only, and biased towards those individuals that the evaluator interviewed.

LIST OF PEOPLE INTERVIEWED

**DPRU:**

Avril Joffe  
Director  
Labour Market Alternatives  
Johannesburg

David Kaplan  
Development Policy Research Unit  
University of Cape Town

David Lewis  
Deputy Director  
Development Policy Research Unit  
University of Cape Town

**Researchers**

Anthony Black  
Senior Lecturer  
Department of Economics  
University of Cape Town

Robin Bloch  
Director  
Policy and Research  
Ntsika Enterprise Promotion Agency  
Pretoria

Allan Hirsch  
Chief Director  
Industry and Technology Strategy  
Department of Trade and Industry  
Pretoria

Claudia Manning  
Senior Specialist  
Spatial Development Initiatives  
Development Bank of Southern Africa  
Midrand

Moses Ngoasheng  
Economic Advisor to Deputy President  
Pretoria

Zavareh Rustomjee  
Director General  
Department of Trade and Industry  
Pretoria

## **IDRC**

Nigel Motts  
Program Officer  
IDRC-ROSA

Marc Van Ameringen  
Regional Director  
IDRC-ROSA

## **Stakeholders**

Jeremy Baskin  
Chief Director  
Labour Relations Division  
Department of Labour  
Pretoria  
(Formerly Director of Naledi - the policy unit of COSATU)

Adrienne Bird  
Chief Director  
Human Resources Development and Careers Services  
Department of Labour  
Pretoria  
(Formerly with NUMSA and COSATU)

P E Kotze  
General Manager  
Industrial Development Corporation of South Africa Limited  
Johannesburg

Keith Lockwood  
Economist  
South African Chamber of Business  
Johannesburg

Shan Ramburuth  
Coordinator Trade and Industry Chamber  
NEDLAC  
Johannesburg

LIST OF DOCUMENTS REVIEWED

"Funding Document in respects of Phase 2", Industrial Strategy Project..

Improving Manufacturing Performance in South Africa: Report of the Industrial Strategy Project, Avril Joffe, David Kaplan, Raphael Kaplinsky, David Lewis, IDRC/UCT Press, 1995.

"Industrial Policy: priorities for the early years of a democratic government", David Lewis, Industrial Strategy Project, December 1993

"Industrial Strategy Project", (Presentation of the overall framework and policy recommendations of the ISP - represents work-in-progress), Economic Trends Research Group, 1993.

"The ISP - A Creative Response to the Crisis of the Manufacturing Sector" Moss Ngoasheng, Paper prepared for the Canadian Association of African Studies Conference, Montreal, 12-16 May 1992.

"Meeting The Global Challenge: A Framework for Industrial Revival in South Africa", ISP Co-directors, Paper prepared for ISP Meeting, June 14 1993.

"Progress Report, Financial Statements, Budget", Industrial Strategy Project, September 1996..

"Project Identification Memorandum", IDRC, April 26, 1991

"Project Summary", IDRC, May 15, 1991.

"Report to Funders", Industrial Strategy Project, July 1995.

"Research, Training and Financial Report", Industrial Strategy Project, February 1993.

"Towards Industrial Reconstruction: The Engineering Industry in South Africa", Prepared for NUMSA by the Industrial Strategy Project and the Trade Union Research Project, 1995.

"Towards Industrial Reconstruction: The Paper Sector in South Africa", Prepared for the PPAWU by the Industrial Strategy Project and the Trade Union Research Project, 1995.

"Towards Industry Reconstruction: The Household Electrical Durables Industry" Prepared for NUMSA by the Industrial Strategy Project and the Trade Union Research Project, 1995.

## 7.0 SUMMARY

### 7.1 NATURE OF IMPACT

Impact Assessment Area	High	Medium	Low	None
Knowledge pool	91-0036 92-8452 92-0902	91-0043		
Individual capacity building	91-0043 91-0036 92-8452 92-0902			
Institutional capacity building	92-8452 91-0036		91-0043 92-0902	
Policy formulation		92-0902 91-0036	91-0043 92-8452	
Improved quality of life	92-8452 92-0902			91-0036 91-0043
Increased income	92-8452			92-0902 91-0036 91-0043

In terms of impact areas, one of the most direct and achievable is that of increasing the knowledge pool. All of the projects had a medium to high impact on knowledge. The critical factors are that the research be well planned and executed, and the outputs disseminated. In the case of the Gender, Health and Structural Adjustment Project, the impact was rated as medium because the research was undertaken at a micro-level, and because the report was not widely accessible in Zimbabwe.

Individual capacity building is also easy to achieve and a direct result of the project. It requires attention to be paid to the training and workshop components, and usually the input of outside advisers. All of the projects had a high impact in terms of individual capacity building.

Institutional capacity building is more difficult to achieve. Two of the projects had a high impact in terms of institutional capacity building, and two had a low impact. Critical factors for strengthening recipient institutions are the involvement of management in the research, the ability to retain staff and the ability to utilise the research results in ongoing programmes. Critical factors for strengthening other institutions are their involvement in the research process.

The two projects with low impact involved recipient organisations which were relatively weak at the start of the project - the NUCI and the WNC. In the case of the NUCI, it was not able to retain the people who were trained and key people who were retained were not involved in the project. In the case of the WNC, it was not clearly intended to persist as an organisation following completion of the project, and there was insufficient time and resources during the course of the project to build up its member organisations.



In the case of SPP, its capacity to carry out research was enhanced as a result of the project, but the most important institution building took place within the communities who were involved in the research process. In the case of the DPRU, its capacity to carry out research was also enhanced, and the capacity of the trade unions and the ANC was also enhanced through extensive consultation and involvement throughout the course of the project - although this capacity was affected over the long-term by the movement of key people into government positions.

Policy formulation is more difficult to relate directly to the research projects, and more difficult to achieve. A longer period of time is required in order for policies to change, and there are a number of influences on policymakers which extend beyond research. Significant involvement of the key policy makers, follow-up, and an understanding of the policy context is required in order to achieve an impact.

The ISP Project had an impact on policy thinking within government, the trade unions and the business community, although comprehensive industrial strategies or policies have yet to be formulated by those bodies. Key policymakers in these organisations were involved in the research itself or in presentation of the findings, and individuals were able to follow up in various negotiating fora through the DPRU or other connections which they had. The Constitutional Initiatives Project had an impact on clauses related to gender equity in the South African Constitution through lobbying of the constitutional negotiators and connections to all political parties.

The Namaqualand Project had some influence on policies related to land reform and local government through the lobbying of SPP and the involvement of the researchers in various negotiating fora. This influence, however, was limited by the fact that the situation in Namaqualand was somewhat unique within South Africa. The Gender, Health and Structural Adjustment Project had no influence on policy because key government ministries were not involved in the research and the NUCI lacked the capacity to carry the results forward.

Improving the quality of life and increasing incomes require changes in programmes which usually result from changes in policies, and therefore are even more difficult to achieve or to attribute directly to a research project. The Namaqualand Project and the Constitutional Initiatives project were considered indirectly to have affected the quality of life - although this impact is more potential than actual at this point in time. The Namaqualand Project strengthened the communities which led to their subsequent negotiation of land claims. This not only has the potential to improve their quality of life but also their income. The Constitutional Initiatives Project has the potential to improve the quality of life of women if programmes are developed to overcome discrimination.

In the other two projects, while awareness of certain issues might have been raised, it had not yet led to an identifiable change in the quality of life or

increased incomes of the ultimate beneficiaries. Neither of the two projects, however, had stated that as their objective.

In conclusion, therefore, the easiest and most directly related impacts which can be achieved from research projects are increasing the pool of knowledge and individual capacity building. Policy formulation, improving the quality of life and increasing incomes are the most difficult and the hardest to attribute directly to a research project. There are various factors which are thought to be more important in terms of achieving different types of impact. These factors are discussed further below.

## 7.2 SUMMARY OF KEY FACTORS

<b>Factors Contributing to Success</b>	<b>Factors Inhibiting Success</b>
<i>External Context</i> Transitional environment - creates opportunities to influence policy, movement of researchers into key positions, mobilising pressure of deadlines	<i>External Context</i> Transitional environment - difficult to stay on top of changing situation, other demands placed on time of those involved in the research, stress of deadlines
<i>Institutional Context</i> Strong recipient organisation in terms of leadership, research capacity, links to key stakeholders, adequate source of funds Highly qualified and motivated leaders and researchers.	<i>Institutional Context</i> Weakness of the recipient organisation - limited research capacity, management instability, lack of follow-up
<i>Objectives</i> Realistic objectives. Linked to strategies and activities to achieve objectives	<i>Objectives</i> Overly ambitious objectives. Failure to link strategies and activities to achievement of objectives.
<i>Strategies</i> Involvement of policymakers in design, implementation and review of results. Agreement among key stakeholders on strategy to be pursued. Participatory approach.	<i>Strategies</i> Weak linkages to policymakers. Lack of agreement among key stakeholders on the strategy to be pursued.
<i>Inputs</i> Involvement of international researchers with relevant experience. IDRC technical input and mobilisation of other donors' support. Flexibility in the provision of donor funds.	<i>Inputs</i> Timing of the availability of funds. Insufficient funds for follow-up.
<i>Activities</i> Short-term training of researchers. Well-conceptualised and implemented research methodology. Wide consultation during implementation.	<i>Activities</i> Inadequately designed and delivered training programmes.
<i>Outputs</i> Availability of research report. Emphasis on process as much as output.	<i>Outputs</i> Inaccessible research report. Uniqueness of area being researched.

The context within which the projects were undertaken was very important to their eventual success. In terms of the external context, three of the projects in the case study were implemented in South Africa during a time of major transition. This transition created opportunities because policy changes were actively sought, individuals could move into influential policymaking positions, and tight deadlines put pressure on for fairly immediate and relevant research results. On the other hand, this transition also created a dynamic situation which was hard to stay abreast of, other demands on the time of the individuals and organisations involved in the research, and a number of stresses. On balance, however, it is the view of the evaluator that the South African environment in the early to mid-1990's was conducive to policy-oriented research. It would be interesting to see whether this changes as the transition in South Africa becomes more formalised and bureaucratised.

In terms of the institutional context, it was helpful in terms of reach and impact to have projects which were implemented by strong recipient organisations. These organisations tended to have a combination of committed leadership, good research capacity, links to key stakeholders including policymakers and beneficiary communities, and access to diverse sources of funds. All of these characteristics are not necessary at any one time, however. For example, the Surplus People Project had strong links to Namaqualand communities and policymakers but experienced some management instability during the course of the project. They were able to compensate, however, by eventually recruiting new and competent research and management staff and by utilising a Research Advisory Committee. Similarly, the DPRU was not strong as an institution - being primarily an administrative shell - but through the involvement of strong individuals with good connections to the democratic movement, its reputation and capacity grew.

At the other end of the spectrum are organisations such as NUCI and WNC which were able to carry out the project, but were not able to build up the capacity to carry the research further forward. The impact of the projects in these two instances was therefore more limited in terms of breadth and depth.

In terms of objectives, several of the projects were overly ambitious in defining what they would be able to achieve. The Namaqualand Project intended to produce development options for Namaqualand within two years when information was difficult to come by and the communities needed to be involved at every step in the process. Objectives also needed to be clearly linked to strategies and activities which would lead to their achievement. The Gender, Health and Structural Adjustment Project intended to influence policy on structural adjustment, but there were no strategies to involve policymakers other than inviting them to a presentation of the results of the research. It would have been better to have included these policymakers in the design of the research in order to ensure that the results could be utilised by them.

In terms of strategies, it is important to have strong links to the research community, to adopt a participatory research approach, and to have agreement among the key stakeholders on the strategy to be pursued. The Namaqualand and Constitutional Initiative Projects adopted such a strategy which involved the ultimate beneficiaries of the research in an active way, and the process therefore had as much of an impact as the results themselves. The Namaqualand communities were strengthened and empowered to begin negotiating land redistribution, and thousands of women in South Africa were able to express their needs and have them legitimised in the Women's Charter.

In terms of inputs, it is important when planning projects to ensure that sufficient time and money is allocated so that the research can be properly planned, carried out, disseminated and followed up. The ISP Project benefited by having a year in which to formulate the research methodology and sufficient funds to conduct the research over a two-year period, bring in outside expertise and conduct study tours abroad. International expertise can be important in certain circumstances. In the Gender, Health and Structural Adjustment Project in Zimbabwe, for example, the research department had just been created in the NUCI and the input of the international technical expert assisted them in planning and carrying out the research. In other circumstances, sufficient expertise exists within the recipient organisation or the country - as was the case with the Namaqualand Project. The provision of information and communication technologies was not key to any of the projects, but might be in terms of follow-up to speed up processes, widen consultation, and disseminate results

IDRC's inputs had the most impact where the Program Officers made the time to provide a technical input - bringing in the experience of other countries with similar research projects, or international expertise. This was the case with the ISP Project. It was also useful where IDRC played a role in bringing in other donor support - by providing initial funding, by convening a donor conference, or by being the first to indicate their confidence in the recipient organisation. The Constitutional Initiatives and the ISP Projects benefited from this support and were able to eventually attract considerable donor funding.

Flexibility in the use of funds, and their timely availability were also factors. The Namaqualand Project was able to reorient its strategies during the course of implementation as the situation with regard to land reform changed dramatically in South Africa - although this change in orientation appears to have been approved post facto by IDRC. On the other hand, the Constitutional Initiatives Project was constrained in its activities by delays in releasing funds - due to administrative problems within WNC accounting and reporting on the use of funds.

In terms of the activities which were undertaken, the most successful projects involved a well-conceptualised research methodology, short-term training for the researchers, a participatory research approach, and wide consultation at many stages throughout the process. This broadened the reach of the project and strengthened its capacity building impact. For example, both the ISP Project and

the Gender, Health and Structural Adjustment Project provided short-term training to the researchers and research assistants which strengthened their capacity to carry out further research in the future. The shortcoming in the ISP Project, however, was that the training of the trainees was intended to strengthen their organisations' capacity but was not well integrated into their current or future job functions.

The primary outputs from all of the projects was the research report. The quality of the report depending on the research methodology which was used. In terms of reach and impact, however, the research process was the critical factor. This process did not necessarily need to be innovative but it did need to be well-planned and organised. The dissemination of the research reports was important and could have been improved in terms of having a dissemination plan considering whether or not to publish, to whom to distribute and how to distribute. The most important aspect, however, was dissemination through ongoing consultations, research, lobbying, participation in key fora, and the continuing involvement of the researchers in one way or another - particularly in terms of policy impact.

The factors affecting the reach and impact of the projects were therefore a combination of strategies, inputs, activities, context, and outputs - with strategies and context being the most important. In other words, the research process, the institution doing the research, and the context within which the research is being undertaken are the most critical to success. If these are well thought out and well understood, then the inputs and activities will be well-defined, and the outputs will be relevant, timely, accessible, and sustainable.

When considering project proposals, therefore, it is suggested that sufficient time and resources be devoted to understanding the general context, the key players, the key influences on those players, other related work, etc. It is also suggested that the recipient institution be carefully assessed in terms of their capacity to carry out the research and to follow up on the results.

### **7.3 ENHANCEMENT OF OUTCOMES**

Any direct enhancement of outputs which is possible is already being undertaken by the recipient institution, with or without IDRC funding. It would be difficult to extend the analysis of the Gender, Health and Structural Adjustment Project because of the difficulties in locating the original households which were part of the survey. In addition, the NUCI no longer as a research department. Similarly, the Constitutional Initiatives Project achieved its objectives within the limited time period which was available to it, and any further impact would need to be achieved through new approaches and possibly new recipient organisations.

The outcomes of the Namaqualand Project have been carried forward by SPP in a number of ways, with various donor funding. Further impact is being achieved through implementation, rather than research. The outcomes of the ISP Project are being carried forward through the DPRU with IDRC funding.